

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: <u>Rock Island Housing Authority</u> PHA Code: <u>IL018</u> PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>10/2011</u>				
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>487</u> Number of HCV units: <u>230</u>				
3.0	Submission Type <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only				
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)				
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program
	PHA 1:				PH HCV
	PHA 2:				
	PHA 3:				
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.				
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: RIHA is committed to pursuing new and creative ways to meet the changing housing needs of the diverse populations of the City of Rock Island.				
5.2	Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. RIHA's goals for Fiscal Years 2010 – 2014 include: (1) Safe, well-maintained housing units; (2) Effective organization with measured performance; (3) Solid, credible financial condition; (4) Maximize the number of affordable housing units available; (6) Positive public image. Initiatives for RIHA's public housing developments include the possible demolition and/or disposition of Lincoln and Manor Homes (see Section 7.0 below), leasing Spencer Towers as a general occupancy building rather than an unofficially designated elderly/disabled development (see Attachment E) and the ongoing maintenance of Sunset Heights. In its previous 5-Year Plan, RIHA outlined similar goals and objectives including 95% occupancy for public housing units and 95% HCV lease-up. During that time, the Agency invested considerable time and energy in preparing financially, organizationally and structurally to transition to Asset Management. RIHA demolished the blighted Valley Homes property, relocating 53 displaced households 5 months ahead of schedule; created a non-profit affiliate to partner in providing affordable housing; developed and sold 6 in-fill, for-sale, single-family homes; implemented both Section 32 and Housing Choice Voucher Homeownership programs; and partnered in the development of special needs housing.				
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: The following elements of RIHA's PHA Plan have been revised to be effective October 1, 2009: 1. <u>Eligibility, Selection and Admissions Policies</u> - See Attachment A (il018a04) 2. <u>Financial Resources</u> - See Attachment B (il018b04) 3. <u>Rent Determination</u> - See Attachment C (il018c04) 4. <u>Operations and Management</u> - See Attachment D (il018d04) 5. <u>Grievance Procedure</u> - See Attachment E (il018e04) 6. <u>Designated Housing for Elderly and Disabled Families</u> - See Attachment F (il018f04) 7. <u>Community Service and Self-Sufficiency</u> - See Attachment G (il018g04) **Items 8 - 11 have not been revised since the previous Plan submission** 12. <u>Asset Management</u> - See Attachment H (il018h04) 13. <u>Violence Against Women Act (VAWA)</u> - See Attachment I (il018i04) 14. <u>Carbon Monoxide Detector Act</u> - See Attachment J (il018j04) 15. <u>Resident Advisory Board Comments</u> - See Attachment K (il018k04) 16. <u>Affirmatively Furthering Fair Housing</u> - See Attachment L (il018l04)				

6.0

- (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions.

Copies of RIHA's 5-Year and Annual PHA Plan are available at the central office cost center (main office) as well as at each AMP office.

Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. *Include statements related to these programs as applicable.*

Hope VI, Mixed Finance Modernization or Development: HUD approved RIHA's application to the Operating Fund Financing Program wherein the Authority is pursuing a special needs housing development financed through an OFFP/Mixed-Finance transaction whereby RIHA will leverage approximately \$2.6M (\$2M from AMP 18-4 Excess Cash and \$.6M of RHF funds) to acquire 33 ACC units in the proposed 70-unit development. The development may also include certain project-based (HCV) units. RIHA has procured a developer for this special needs facility. This transaction closed in early 2010. The total estimated cost of the project is \$13,000,000. The project – to be named IL01800001 – location is 2821 - 5th Street, Rock Island, IL and adjoining sites.

Demolition and/or Disposition: In April 2003, RIHA conducted an asset management assessment and developed an Asset Management Plan based on that assessment. As part of the Asset Management Plan, each property was evaluated based on its present and future value for current and future residents, the City, the community and RIHA. This Plan recommended options and suggestions to keep and maintain, keep and upgrade or demolish and replace each RIHA property.

Demolition and Disposition initiatives under consideration for action during Fiscal Year beginning 10/1/2010 are as follows:

According to the Asset Management Plan, Spencer Towers should be developed into a mixed-income housing opportunity. Ownership of the property should be transferred to RIHA's not-for-profit corporation. In moving forward with this Plan, RIHA may elect to apply to HUD for the disposition of Spencer Towers, the development referred to as IL018-006.

The Asset Management Plan also noted that, due to their ages, both Lincoln Homes and Manor Homes should be reevaluated in the 5 to 10 year period after 2003 to determine their long-term value and sustainability as viable properties. This assessment has been completed, and the physical condition of Lincoln Homes, IL018-003, requires that residents be relocated and the buildings be demolished. Manor Homes has been found to be at the end of its viable life. Rock Island Housing Authority may elect to make application to HUD for the disposition and/or demolition of Manor Homes, IL018-002, as well.

RIHA may also make application to HUD for the disposition of the Hickman Center, referred to as IL018-002-00.

RIHA should also develop new housing opportunities, as suggested in the Asset Management Plan, to stabilize the City's neighborhoods and provide additional options and opportunities for current and future residents over the long-term, which will be accomplished through the construction of new, in-fill housing. This housing may be part of RIHA's Section 32 Homeownership Plan and may require the demolition of existing, dilapidated buildings on in-fill sites.

7.0

Conversion of Public Housing: None of Rock Island Housing Authority's developments or portions of developments have been identified by HUD or RIHA as covered under Section 202 of the HUD FY1996 Appropriations Act.

Homeownership Programs: The RIHA homeownership program is supported by the RIHA residents, the community and the city and state governments. It is actively endorsed by the public and private partners and partnerships that have come together for this purpose and through the commitments of their time, talent and resources. Homeownership supports HUD's strategic goals and meets President George W. Bush's challenge to close the affordable housing gap, increasing homeownership for low-income families.

RIHA's major priority is to assist public housing residents in their efforts to become financially self-sufficient and less dependent upon direct government housing assistance. The RIHA Homeownership Program enables public housing residents, including low- and moderate-income persons, persons with disabilities, the elderly and minorities to transition to the American Dream of homeownership with a strong emphasis on supportive services focused on ensuring the long-term success of each participant. Since the program's inception, 10 Section 8 participants and one low-income public housing residents have purchased their own homes.

RIHA also operates a Homebuyer Incentive Program where low-income public housing families may be prepared to become homebuyers through classroom and real-world living experiences with a strong emphasis on successful, long-term ownership of the home. HIP assesses each family's needs, develops a plan for strengthening identified weaknesses, and assists each family with implementing its personal plan. Families take an active role in the care and maintenance of their unit, paying all utilities, budgeting their income to handle routine, as well as meeting unexpected, expenses. HIP participants will receive counseling and training in Aspects of household financial management and self-sufficiency including Budgets, Credit history, Mortgage affordability, homebuying, homebuying terminology, Mortgages and interest rates, Homebuyer rights, Real estate agents, Home selection, Appraisals, Homeowners' insurance, Settlement and closing costs, Importance of consistent monthly loan payments, Home maintenance, Foreclosures and Good housekeeping. Training will be provided by RIHA staff augmented by contracted community resources.

Project-Based Vouchers: RIHA currently has six project-based vouchers at the Sala Flats building, located at 1829 4th Avenue, Rock Island, Illinois. During the coming fiscal year, RIHA may elect to project-base vouchers at tax credit properties in the city; RIHA would project-base the maximum number allowed by federal regulations on a tax credit property. RIHA may also elect to seek application for project-based vouchers for Douglas Park Place – at 7th Avenue and 9th Street, Rock Island - and Cascade Garden – at 655 Cascade Garden Drive, Rock Island. All of these activities are consistent with actions described in this Agency Plan.

8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.																																																																								
8.1	<p>Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i>, form HUD-50075.1, for each current and open CFP grant and CFFP financing.</p> <p>See Attachment M (il018m04)</p>																																																																								
8.2	<p>Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i>, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.</p> <p>See Attachment N (il018n04)</p>																																																																								
8.3	<p>Capital Fund Financing Program (CFFP).</p> <p><input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p>																																																																								
9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p> <p>Based on the City of Rock Island Consolidated Plan for FY2008-2013, the Comprehensive Housing Affordability Strategy dataset from the 2000 U.S. Census and its own low-income public housing and Section 8 waiting lists, RIHA has identified the following housing needs for our jurisdiction (the City of Rock Island):</p> <table border="1"> <thead> <tr> <th colspan="8">Housing Needs of Families in the Jurisdiction by Family Type</th> </tr> <tr> <th>Family Type</th><th>Overall</th><th>Affordability</th><th>Supply</th><th>Quality</th><th>Accessibility</th><th>Size</th><th>Location</th></tr> </thead> <tbody> <tr> <td>Income <= 30% of AMI</td><td>2,679</td><td>5</td><td>5</td><td>5</td><td>3</td><td>2</td><td>4</td></tr> <tr> <td>Income >30% but <=50% of AMI</td><td>1,961</td><td>5</td><td>4</td><td>5</td><td>2</td><td>2</td><td>4</td></tr> <tr> <td>Income >50% but <80% of AMI</td><td>2,879</td><td>4</td><td>3</td><td>5</td><td>2</td><td>2</td><td>4</td></tr> <tr> <td>Elderly</td><td>2,372</td><td>5</td><td>4</td><td>5</td><td>4</td><td>1</td><td>4</td></tr> <tr> <td>Families with Disabilities</td><td>6,992 people</td><td>4</td><td>4</td><td>5</td><td>5</td><td>2</td><td>4</td></tr> <tr> <td>Black</td><td>2,501</td><td>5</td><td>5</td><td>5</td><td>3</td><td>3</td><td>4</td></tr> <tr> <td>Hispanic</td><td>632</td><td>5</td><td>5</td><td>5</td><td>3</td><td>3</td><td>4</td></tr> </tbody> </table>	Housing Needs of Families in the Jurisdiction by Family Type								Family Type	Overall	Affordability	Supply	Quality	Accessibility	Size	Location	Income <= 30% of AMI	2,679	5	5	5	3	2	4	Income >30% but <=50% of AMI	1,961	5	4	5	2	2	4	Income >50% but <80% of AMI	2,879	4	3	5	2	2	4	Elderly	2,372	5	4	5	4	1	4	Families with Disabilities	6,992 people	4	4	5	5	2	4	Black	2,501	5	5	5	3	3	4	Hispanic	632	5	5	5	3	3	4
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9.1	<p>Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p> <p>In the upcoming year, RIHA plans on employing the following strategies for addressing the housing needs of the families living in our jurisdiction and on our waiting lists:</p> <p><u>NEED: Shortage of affordable housing for eligible populations</u></p> <p>RIHA will maximize the number of affordable housing units by continuing to employ effective maintenance and management policies to minimize the number of public housing units offline, keep turnover time for vacated public housing units low, keep renovation time low for public housing units, undertake measures to ensure access to affordable housing among families we assist regardless of required unit size and seek replacement of public housing units lost to the inventory through mixed finance development and Section 8 replacement housing.</p> <p>RIHA will also maintain or increase Section 8 lease-up rates through payment standards that allow families to rent throughout the City by marketing to owners outside of areas of minority and poverty concentration and by effectively screening Section 8 applicants.</p> <p>RIHA will increase the number of affordable housing units by applying for additional Section 8 units should they come available, leveraging affordable housing resources in the community through the creation of mixed finance housing, pursuing housing resources other than public housing or Section 8 tenant-based assistance and implement is Asset Management Plan which explores various opportunities including those listed above.</p> <p><u>NEED: Families at or below 30% AMI and Families at or below 50% AMI</u></p> <p>For these families, RIHA will target assistance by promoting the Family Self-Sufficiency Program and Escrow Accounts and will continue to employ admissions preferences for working families.</p> <p><u>NEED: Elderly families</u></p> <p>RIHA will target assistance to elderly families by seeking designation of public housing for the elderly, applying for special purpose vouchers targeted to the elderly should they become available and coordinating with providers of social services for the elderly.</p>																																																																								

9.1	<p>NEED: Families with disabilities</p> <p>RIHA will target assistance to families with disabilities by seeking designation of public housing for families with disabilities, applying for special purpose vouchers targeted to families with disabilities should they become available, affirmatively marketing to local non-profit agencies that assist families with disabilities, possibly implementing project-based Housing Choice Vouchers with preference to developments serving families with disabilities and developing housing for families with disabilities.</p> <p>NEED: Races or ethnicities with disproportionate housing needs</p> <p>To increase awareness of PHA resources among these families, RIHA will affirmatively market to races/ethnicities shown to have disproportionate housing needs. RIHA will market the Section 8 program to owners outside areas of poverty/minority concentrations to affirmatively further fair housing.</p> <p>RIHA chose the above-mentioned strategies based on funding constraints, the extent to which particular housing needs are met by other organization in the community, evidence of housing needs as demonstrated in the City of Rock Island Consolidated Plan for 2008-2013 as well as other information, the influence of the housing market on RIHA programs, community priorities regarding housing assistance, results of consultation with residents, the Resident Advisory Board, community leaders, advocacy groups, neighborhood groups and local government.</p>
10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan.</p> <p>In the last 5 years, RIHA has completed well over 50% of the initiatives detailed in the plan. It also invested considerable time and energy in preparing financially, organizationally and structurally to complete the remaining Asset Management Plan recommendations. RIHA's Asset Management Plan is included as part of the City of Rock Island Consolidated Plan, the New Old Chicago Redevelopment Plan, and the RiverVision Plan. RIHA has consistently operated at or above 95% occupancy for public housing units and 95% HCV lease-up. By this fiscal year, RIHA and its partners will have completed and begun leasing Cascade Garden, a special needs development for households with at least one individual with a disability.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification"</p> <p>RIHA defines substantial deviations and significant amendments to be actions including:</p> <ul style="list-style-type: none"> • Changes to rent or admissions policies or organization of the waiting list; • Changes in the use of Replacement Reserve Funds under the Capital Fund; • Changes in excess of 10% of the original work plan under the Capital Fund. <p>Additions of non-emergency work items (items not included in the current Annual Statement or Five-Year Action Plan) and any changes with regard to demolition or disposition, designation, homeownership programs or conversion activities are not considered to be substantial deviations or significant amendments.</p>
11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>

Eligibility, Selection & Admissions Policies

Below are approved changes to the RIHA Admissions & Continued Occupancy Policy and the RIHA Administrative Plan for Section 8 as they relate to Eligibility, Selection and Admissions.

ADMISSIONS & CONTINUED OCCUPANCY POLICY

3-I.C. FAMILY BREAK-UP AND REMAINING MEMBER OF TENANT FAMILY

Family Break-up

When a family on the waiting list breaks up into two otherwise eligible families, both families will retain the original application date if both families wish to remain on the waiting list. Other former family members not remaining with the original Head of Household must complete paperwork.

If a family breaks up into two otherwise eligible families while living in public housing, the non-remaining family members may request a transfer to another public housing unit or may submit a new application with a new application date. RIHA will consider requests for transfer of non-remaining family members on a case-by-case basis according to the policies outlined in Chapter 12.

If a court determines the disposition of property between members of the applicant or resident family in a divorce or separation decree, RIHA will abide by the court's determination.

In the absence of a judicial decision or an agreement among the original family members, the original Head of Household and his/her family members will retain their original application date and time on the waiting list or continue in occupancy. In the case of an applicant family, the other former family members must complete new application paperwork and will retain their original application date and time on the waiting list. In the case of a tenant family, the other former family members may request a transfer to another public housing unit or may submit a new application with a new application date. RIHA will consider requests for transfer of non-remaining family members on a case-by-case basis according to the policies outlined in Chapter 12.

3-I.E. SPOUSE, CO-HEAD, AND OTHER ADULT

A family may have a spouse or co-head, but not both [HUD-50058 IB, p. 13].

Spouse means the marriage partner of the head of household who is equally responsible with the head of household for ensuring that the family fulfills all of its responsibilities under the program.

Other adult means a family member, other than the head, spouse or co-head who is 18 years of age or older. Foster adults and live-in aides are not considered other adults [HUD-50058 IB, p. 14].

Household members designated as *Other Adults* are not considered responsible for ensuring that the family fulfills all of its responsibilities under the program.

3-I.F. DEPENDENT [24 CFR 5.603]

A *dependent* is a family member who is under 18 years of age or a person of any age who is a person with a disability or a full-time student, except that the following persons can never be dependents: the head of household, spouse, co-head, foster children/adults and live-in aides. Identifying each dependent in the family is important because each dependent qualifies the family for a deduction from annual income as described in Chapter 6.

Joint Custody of Dependents

Dependents that are subject to a joint custody arrangement will be considered a member of the family if they live with the applicant or resident family 50 percent or more of the time.

If there is a dispute about which family should claim them, RIHA will request documentation such as court orders or an IRS return showing which family has claimed the child for income tax purposes from both parties.

3-II.C. SOCIAL SECURITY NUMBERS [24 CFR 5.216 and 5.218, Notice PIH 2010-3]

The applicant and all members of the applicant's household must disclose the complete and accurate social security number (SSN) assigned to each household member, and the documentation necessary to verify each SSN. A detailed discussion of acceptable documentation is provided in Chapter 7.

Note: These requirements do not apply to noncitizens who do not contend eligible immigration status.

In addition, each participant who has not previously disclosed an SSN, has previously disclosed an SSN that HUD or the SSA determined was invalid, or has been issued a new SSN must submit their complete and accurate SSN and the documentation required to verify the SSN at the time of the next interim or annual reexamination or recertification. Participants age 62 or older as of January 31, 2010, whose determination of eligibility was begun before January 31, 2010, are exempt from this requirement and remain exempt even if they move to a new assisted unit.

A detailed discussion of acceptable documentation is provided in Chapter 7.

RIHA must deny admission to an applicant family if they do not meet the SSN disclosure, documentation and verification and certification requirements contained in 24 CFR 5.216.

3-III.C. OTHER PERMITTED REASONS FOR DENIAL OF ADMISSION

HUD permits, but does not require, RIHA to deny admission for the reasons discussed in this section.

Criminal Activity [24 CFR 960.203 (b) and (c)]

Under the Public Housing Assessment System (PHAS), PHAs receive points if they have adopted policies, implemented procedures and can document that they successfully screen out and deny admission to certain applicants with unfavorable criminal histories.

RIHA is responsible for screening family behavior and suitability for tenancy. In doing so, RIHA may consider an applicant's history of criminal activity involving crimes of physical violence to persons or property and other criminal acts which would adversely affect the health, safety or welfare of other tenants.

If any household member 18 years of age or older has been convicted of a felony in the last ten years, the family will be denied admission.

If any household member 18 years of age or older has been convicted for a non-traffic misdemeanor or is currently engaged in, or has engaged in any of the following criminal activities, within the past five years, the family will be denied admission.

Previous Behavior [960.203(c) and (d) and PH Occ GB, p. 48]

HUD authorizes RIHA to deny admission based on relevant information pertaining to the family's previous behavior and suitability for tenancy.

In the event of the receipt of unfavorable information with respect to an applicant, consideration must be given to the time, nature and extent of the applicant's conduct (including the seriousness of the offense).

RIHA will deny admission to an applicant family if RIHA determines that the family:

Has a record of unsuitable past performance in meeting rental obligations within the past five years.

3-III.D. SCREENING

Resources Used to Check Applicant Suitability [PH Occ GB, pp. 47-56]

In order to determine the suitability of applicants RIHA will examine applicant history for the past five years. Such background checks will include:

Past Performance in Meeting Financial Obligations, Especially Rent

Applicants with no rental payment history will also be asked to provide RIHA with personal references. The references will be requested to complete a verification of the applicant's ability to pay rent if no other documentation of ability to meet financial obligations is available.

If previous landlords or the utility company do not respond to requests from RIHA, the applicant may provide other documentation that demonstrates their ability to meet financial obligations (e.g. rent receipts, cancelled checks, etc.)

All applicants must provide RIHA with at least one personal reference.

3-III.E. CRITERIA FOR DECIDING TO DENY ADMISSION

Removal of a Family Member's Name from the Application [24 CFR 960.203(c)(3)(i)]

As a condition of receiving assistance, a family may agree to remove the culpable family member from the application. In such instances, the head of household must certify that the family member will not be permitted to visit or to stay as a guest in the public housing unit, and the culpable family member may be banned from RIHA property.

3-III.G. NOTICE OF ELIGIBILITY OR DENIAL

If based on a criminal record or sex offender registration information an applicant family appears to be ineligible, RIHA will notify the family in writing of the proposed denial and schedule an appointment for the family and subject of the record to view the record. This appointment will provide the family the opportunity to dispute the accuracy and relevance of the information.

If the family does not dispute the information, RIHA will proceed with issuing the notice of denial of admission. A family that does not exercise their right to dispute the accuracy of the information prior to issuance of the official denial letter will still be given the opportunity to do so as part of the informal hearing process.

If the family does dispute the accuracy and relevance of the information of the record, the family will be given 10 business days to provide RIHA with documentation substantiating its claim. Based on the documentation received, RIHA may either proceed with issuing the notice of denial of admission or resume processing for admission. If a notice of denial of admission is issued, the family will still be given the opportunity to dispute the accuracy and relevance of the information as part of the informal hearing process.

If the family is unable to attend the scheduled appointment, the family should contact RIHA in advance of the appointment to schedule a new appointment. Upon request, RIHA will reschedule the appointment a maximum of one time. The second appointment letter will state that failure to appear for the appointment will be interpreted to mean that the family does not dispute the accuracy and relevance of the information. If the family fails to attend two scheduled appointments, RIHA will send a copy of the record to the family and the subject of record as well as the notice of denial of admission. The family will still be given the opportunity to dispute the accuracy and relevance of the information as part of the informal hearing process.

If the informal hearing decision upholds the denial, the family may reapply for housing 6 months from the date of the informal hearing decision.

4-I.B. APPLYING FOR ASSISTANCE

Any family that wishes to reside in public housing must apply for admission to the program [24 CFR 1.4(b)(2)(ii), 24 CFR 960.202(a)(2)(iv) and PH Occ GB, p. 68]. HUD permits RIHA to determine the format and content of its applications, as well how such applications will be made available to interested families and how applications will be accepted by RIHA. However, RIHA must include Form HUD-92006, Supplement to Application for Federally Assisted Housing, as part of the PHA's application [Notice PIH 2009-36].

4-I.D. PLACEMENT ON THE WAITING LIST

Eligible for Placement on the Waiting List

Initially, all applications will be placed on the preliminary waiting list. RIHA will conduct the preliminary eligibility determination when the application reaches the top of the preliminary waiting list.

RIHA will send written notification of placement on the preliminary waiting list within 10 business days of receiving a completed application. If applicable, the notice will also indicate the waiting list preference(s) for which the family appears to qualify.

Placement on the waiting list does not indicate that the family is, in fact, eligible for admission. RIHA will conduct the preliminary eligibility determination when the application reaches the top of the preliminary waiting list. At this time, RIHA will request, in writing, all documentation required to determine an applicant's eligibility along with a timeframe for response. This letter will state that failure to provide the requested documentation within the allotted timeframe will be interpreted that the family is no longer interested and that their application will be made inactive. Such failure to act on the part of the applicant prevents RIHA from making an eligibility determination, therefore RIHA will not offer an informal hearing. A final determination of eligibility and qualification for preferences will be made when the family is selected from the waiting list.

Applicants will be placed on the waiting list according to RIHA preference(s) and the date and time their complete application is received by RIHA.

RIHA will assign families on the waiting list according to the bedroom size that the family has indicated during the application process and for which the family qualifies as established in RIHA's occupancy standards (see Chapter 5).

4-II.B. ORGANIZATION OF THE WAITING LIST

The waiting list will contain the following information for each applicant listed:

Name and social security number of head of household

Unit size required (number of family members)

Accessibility requirement, if any

Date and time of application or application number

Household type (family, elderly, disabled)

Admission preference, if any

Race and ethnicity of the head of household

4-II.F. UPDATING THE WAITING LIST

Removal from the Waiting List

If a family is removed from the waiting list because RIHA has determined the family is not eligible for admission, a notice will be sent to the family's address of record

4-III.B. SELECTION METHOD

Local Preferences [24 CFR 960.206]

RIHA will use the following local preference:

1. Victims of Domestic Violence (20 points)
2. Families that have been Involuntarily Displaced (10 points) (see definition below)

3. Veterans of the United States Armed Forces (5 points) where the head, spouse or co-head is a veteran or survivor of a veteran who actively served in a branch of the United States Armed Forces
4. Working Families (5 points)

Definition of Involuntary Displacement: Families are considered involuntarily displaced if they are required to vacate housing due to the following circumstances:

- (1) A disaster, (fire, flood, earthquake, etc.) has made the unit uninhabitable.
- (2) Code enforcement or public improvement or development program activities by an U.S. agency or a State or Local governmental body of agency only when the action was beyond the applicant's ability to control or prevent.
- (3) The housing owner has taken an action that forces the applicant to vacate the unit, and (1) the action was beyond the applicant's ability to control or prevent; (2) the action occurred despite the applicant's having met all previously imposed conditions of occupancy; and (3) the action was not a rent increase or eviction for non-payment of rent.

If the owner is a family member, there has been no previous rental agreement and the applicant has been part of the owner's household immediately prior to application, the applicant will not be considered involuntarily displaced.

Units Designated for Elderly or Disabled Families [24 CFR 945]

RIHA does not have designated housing.

4-III.D. THE APPLICATION INTERVIEW

HUD recommends that RIHA obtain the information and documentation needed to make an eligibility determination through a private interview. Being invited to attend an interview does not constitute admission to the program.

Assistance cannot be provided to the family until all SSN documentation requirements are met. However, if RIHA determines that an applicant family is otherwise eligible to participate in the program, the family may retain its place on the waiting list for a period of time determined by RIHA [Notice PIH 2010-3].

Families selected from the waiting list are required to participate in an eligibility interview.

Pending disclosure and documentation of social security numbers, RIHA will allow the family to retain its place on the waiting list for 30 days. If not all household members have disclosed their SSNs at the next time a unit becomes available, RIHA will offer a unit to the next eligible applicant family on the waiting list.

7-II.B. SOCIAL SECURITY NUMBERS [24 CFR 5.216 and Notice PIH 2010-3]

The family must provide documentation of a valid social security number (SSN) for each member of the household, with the exception of individuals who do not contend eligible immigration status. Exemptions also include, existing residents who were at least 62 years of age as of January 31, 2010, and had not previously disclosed an SSN.

RIHA must accept the following documentation as acceptable evidence of the social security number:

An original SSN card issued by the Social Security Administration (SSA)

An original SSA-issued document, which contains the name and SSN of the individual

An original document issued by a federal, state, or local government agency, which contains the name and SSN of the individual, along with other identifying information of the individual

Such other evidence of the SSN as HUD may prescribe in administrative instructions

RIHA may only reject documentation of an SSN provided by an applicant or resident if the document is not an original document, if the original document has been altered, mutilated, or is not legible, or if the document appears to be forged.

RIHA will explain to the applicant or resident the reasons the document is not acceptable and request that the individual obtain and submit acceptable documentation of the SSN to RIHA within 90 days.

When the resident requests to add a new household member who is at least 6 years of age, or who is under the age of 6 and has an SSN, the resident must provide the complete and accurate SSN assigned to each new member at the time of reexamination or recertification, in addition to the documentation required to verify it. RIHA may not add the new household member until such documentation is provided.

When a resident requests to add a new household member who is under the age of 6 and has not been assigned an SSN, the resident must provide the SSN assigned to each new child and the required documentation within 90 calendar days of the child being added to the household. A 90-day extension will be granted if RIHA determines that the resident's failure to comply was due to unforeseen circumstances and was outside of the resident's control. During the period RIHA is awaiting documentation of the SSN, the child will be counted as part of the assisted household.

RIHA will grant one additional 90-day extension if needed for reasons beyond the resident's control such as delayed processing of the SSN application by the SSA, natural disaster, fire, death in the family, or other emergency.

Social security numbers must be verified only once during continuously-assisted occupancy.

RIHA will verify each disclosed SSN by:

- Obtaining documentation from applicants and residents that is acceptable as evidence of social security numbers

- Making a copy of the original documentation submitted, returning it to the individual, and retaining a copy in the file folder

Once the individual's verification status is classified as "verified," RIHA should remove and destroy copies of documentation accepted as evidence of social security numbers by no later than the next reexamination.

Once an individual's status is classified as "verified" in HUD's EIV system, RIHA will remove and destroy copies of documentation accepted as evidence of social security numbers by no later than the next reexamination.

8-I.B. LEASE ORIENTATION

Orientation Agenda

When families attend the lease orientation, they will be provided with:

- A copy of the lease

- A copy of RIHA's grievance procedure

- A copy of the house rules

- A copy of RIHA's schedule of maintenance charges

- A copy of the pamphlet *Protect Your Family From Lead in Your Home*

- A copy of "Is Fraud Worth It?" (form HUD-1141-OIG), which explains the types of actions a family must avoid and the penalties for program abuse

- A copy of "What You Should Know about EIV," a guide to the Enterprise Income Verification (EIV) system published by HUD as an attachment to Notice PIH 2010-19

9-III.B. CHANGES IN FAMILY AND HOUSEHOLD COMPOSITION

New Family and Household Members Requiring Approval

Families may request to add a new family or household member six months after the date of original move-in. Exceptions will be made on a case-by-case basis.

RIHA will not approve the addition of new family or household members other than by birth, adoption, court-awarded custody, or marriage, if it will require the family to transfer to a larger size unit (under the transfer policy in Chapter 12), unless the family can demonstrate that there are medical needs or other extenuating circumstances, including reasonable accommodation, that should be considered by RIHA. Exceptions will be made on a case-by-case basis.

RIHA will not approve the addition of a new family or household member unless the individual meets RIHA's eligibility criteria (see Chapter 3) and documentation requirements (See Chapter 7, Part II).

If RIHA determines that an individual does not meet RIHA's eligibility criteria or documentation requirements, RIHA will notify the family in writing of its decision to deny approval of the new family or household member and the reasons for the denial.

12-IV.B. TRANSFER LIST

RIHA will maintain a centralized transfer list to ensure that transfers are processed in the correct order and that procedures are uniform across all properties.

Transfers will be processed in the following order:

1. Emergency transfers (hazardous maintenance conditions)
2. High-priority transfers (verified medical condition, threat of harm or criminal activity and reasonable accommodation)
3. Transfers to make accessible units available
4. Demolition, renovation, etc.
5. Occupancy standards
6. Other RIHA-required transfers
7. Other tenant-requested transfers

When a tenant family breaks up, the original Head of Household and his/her family members will continue in occupancy. The other former family members may request a transfer to another public housing unit or may submit a new application with a new application date. RIHA will consider requests for transfer of non-remaining family members on a case-by-case basis.

RIHA will determine, on a case-by-case basis, whether transfers will take precedence over waiting list admissions.

PART II: TERMINATION BY RIHA – MANDATORY

13-II.A. OVERVIEW

If RIHA terminates the lease due to any of the following reasons, the family may reapply for housing after a period of 6 months following the vacate date.

13-II.D. FAILURE TO DISCLOSE AND DOCUMENT SOCIAL SECURITY NUMBERS [24 CFR 5.218(c) and 24 CFR 960.259(a)(3), Notice PIH 2010-3]

RIHA must terminate assistance if a participant family fails to disclose the complete and accurate social security numbers of each household member and the documentation necessary to verify each social security number.

However, if the family is otherwise eligible for continued program assistance, and RIHA determines that the family's failure to meet the SSN disclosure and documentation requirements was due to circumstances that could not have been foreseen and were outside of the family's control, RIHA may defer the family's termination and provide the opportunity to comply with the requirement within a period not to exceed 90 calendar days from the date RIHA determined the family to be noncompliant.

RIHA will defer the family's termination and provide the family with the opportunity to comply with the requirement for a period of 90 calendar days for circumstances beyond the participant's control such as delayed processing of the SSN application by the SSA, natural disaster, fire, death in the family, or other emergency, if there is a reasonable likelihood that the participant will be able to disclose an SSN by the deadline.

13-IL.H. DEATH OF A SOLE FAMILY MEMBER [Notice PIH 2010-3]

RIHA must immediately terminate program assistance for deceased single member households.

15-I.A. PREVENTING ERRORS AND PROGRAM ABUSE

HUD created the Enterprise Income Verification (EIV) system to provide PHAs with a powerful tool for preventing errors and program abuse. PHAs are required to use the EIV system in its entirety in accordance with HUD administrative guidance [24 CFR 5.233]. PHAs are further required to:

- Provide applicants and residents with form HUD-52675, "Debts Owed to PHAs and Terminations"
- Require all adult members of an applicant or participant family to acknowledge receipt of form HUD-52675 by signing a copy of the form for retention in the family file

RIHA will provide each applicant and resident with a copy of "What You Should Know about EIV," a guide to the Enterprise Income Verification (EIV) system published by HUD as an attachment to Notice PIH 2010-19. In addition, RIHA will require the head of each household to acknowledge receipt of the guide by signing a copy for retention in the family file.

16-III.B. REPAYMENT POLICY

Repayment Agreement Guidelines

Down Payment Requirement

Before executing a repayment agreement with a family, RIHA will generally require a down payment of 10 percent of the total amount owed. If the family can provide evidence satisfactory to RIHA that a down payment of 10 percent would impose an undue hardship, RIHA may, in its sole discretion, require a lesser percentage or waive the requirement.

Payment Thresholds

Notice PIH 2010-19 recommends that the total amount that a family must pay each month—the family's monthly share of rent plus the monthly debt repayment amount—should not exceed 40 percent of the family's monthly adjusted income, which is considered "affordable." Moreover, Notice PIH 2010-19 acknowledges that PHAs have the discretion to establish "thresholds and policies" for repayment agreements with families [24 CFR 982.552(c)(1)(vii)].

If a family is paying less than 40 percent of its monthly adjusted income (MAI) in rent, the minimum monthly payment amount will be the greater of the following two amounts:

The difference between 40 percent of the family's MAI and the total family share at the time the agreement is executed; or

\$25

If a family can provide evidence satisfactory to RIHA that a monthly payment amount of \$25 would impose an undue hardship, RIHA may, in its sole discretion, require a lower monthly payment amount.

If the family's income increases or decreases during the term of a repayment agreement, either RIHA or the family may request that the monthly payment amount be adjusted accordingly.

Repayment Agreements Involving Improper Payments

Notice PIH 2010-19 requires certain provisions to be included in any repayment agreement involving amounts owed by a family because it underreported or failed to report income:

- A reference to the items in the public housing lease that state the family's obligation to provide true and complete information at every reexamination and the grounds on which RIHA may terminate assistance because of a family's action or failure to act
- A statement clarifying that each month the family not only must pay to RIHA the monthly payment amount specified in the agreement but must also pay to the owner the family's monthly share of the rent to owner
- A statement that the terms of the repayment agreement may be renegotiated if the family's income decreases or increases
- A statement that late or missed payments constitute default of the repayment agreement and may result in termination of tenancy

ADMINISTRATIVE PLAN FOR SECTION 8

3-II.C. SOCIAL SECURITY NUMBERS [24 CFR 5.216 and 5.218]

The applicant and all members of the applicant's household must disclose the complete and accurate social security number (SSN) assigned to each household member, and the documentation necessary to verify each SSN. A detailed discussion of acceptable documentation is provided in Chapter 7.

Note: These requirements do not apply to noncitizens who do not contend eligible immigration status.

In addition, each participant who has not previously disclosed an SSN, has previously disclosed an SSN that HUD or the SSA determined was invalid, or has been issued a new SSN must submit their complete and accurate SSN and the documentation required to verify the SSN at the time of the next interim or annual reexamination or recertification. Participants age 62 or older as of January 31, 2010, whose determination of eligibility was begun before January 31, 2010, are exempt from this requirement and remain exempt even if they move to a new assisted unit.

RIHA must deny assistance to an applicant family if they do not meet the SSN disclosure, documentation and verification, and certification requirements contained in 24 CFR 5.216.

Local Preferences [24 CFR 982.207; HCV p. 4-16]

Domestic Violence: RIHA will offer a local preference to families that have been subjected to domestic violence, dating violence or stalking or have been victimized by a member of the family or household.

Involuntary Displacement: Families are considered to be involuntarily displaced if they are required to vacate housing as a result of:

1. A disaster (fire, flood, earthquake, etc.) that has caused the unit to be uninhabitable.
2. Federal, state or local government action related to code enforcement, public improvement or development only when the action is beyond the applicant's ability to control or prevent.
3. Action by a housing owner which is beyond an applicant's ability to control, which occurs despite the applicant's having met all previous conditions of occupancy and is other than a rent increase.

Such actions causing an applicant to vacate a housing unit include, but are not limited to:

- o Conversion of the housing unit to non-rental or non-residential use;
- o Sale of the housing unit under an agreement that the unit must be vacant when possession is transferred; or
- o Any other legally authorized act that results, or will result, in the withdrawal by the owner of the unit or structure from the rental market.

If the owner is a family member, there has been no previous rental agreement and the applicant has been part of the owner's household immediately prior to application, the applicant will not be considered involuntarily displaced.

Working Preference: Families whose head, spouse or co-head is employed at least 10 hours per week or who is an active participant in accredited educational and training programs designed to prepare the individual for the job market. This preference is automatically extended to elderly families or families whose head, spouse or co-head is receiving income based on their inability to work.

4-III.E. THE APPLICATION INTERVIEW

HUD recommends that RIHA obtain the information and documentation needed to make an eligibility determination through a private interview [HCV GB, pg. 4-16]. Being invited to attend an interview does not constitute admission to the program.

Assistance cannot be provided to the family until all SSN documentation requirements are met. However, if RIHA determines that an applicant family is otherwise eligible to participate in the program, the family may retain its place on the waiting list for a period of time determined by RIHA [Notice PIH 2010-3].

Pending disclosure and documentation of social security numbers, RIHA will allow the family to retain its place on the waiting list for 30 days. If not all household members have disclosed their SSNs at the next time RIHA is issuing vouchers, RIHA will issue a voucher to the next eligible applicant family on the waiting list.

Interviews will be conducted in English. For limited English proficient (LEP) applicants, RIHA will provide translation services in accordance with RIHA's LEP plan.

4-III.F. COMPLETING THE APPLICATION PROCESS

RIHA must verify all information provided by the family (see Chapter 7). Based on verified information, RIHA must make a final determination of eligibility (see Chapter 3) and must confirm that the family qualified for any special admission, targeted admission or selection preference that affected the order in which the family was selected from the waiting list.

If RIHA determines that the family is eligible to receive assistance, RIHA will invite the family to attend a briefing in accordance with the policies in Chapter 5.

Briefing Packet [24 CFR 982.301(b)]

RIHA will provide the following additional materials in the briefing packet:

When RIHA-owned units are available for lease, a written statement that the family has the right to select any eligible unit available for lease, and is not obligated to choose a RIHA-owned unit.

Information on how to fill out and file a housing discrimination complaint form.

"Is Fraud Worth It?" (form HUD-1141-OIG), which explains the types of actions a family must avoid and the penalties for program abuse

"What You Should Know about EIV," a guide to the Enterprise Income Verification (EIV) system published by HUD as an attachment to Notice PIH 2010-19

Assessment of Financial Resources

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2011 grants)		
a) Public Housing Operating Fund	\$ 1,418,639	
b) Public Housing Capital Fund	\$ 945,233	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	\$ 1,122,900	
f) PHDEP (including any Technical Assistance funds)		
g) ROSS Grants	140,000	
h) CDBG		
i) HOME		
Other Federal Grants (list below)		
Family Unification Program	\$121,323	
2. Prior Year Federal Grants (unobligated funds only)		
CFP 501-10	\$ 645,233	Public Housing Capital Improvements
3. Public Housing Dwelling Rental Income	\$ 1,175,935	Public Housing Operations
4. Other income (list below)		
5. Non-federal sources (list below)		
Total resources	\$5,569,263	

Rent Determination Policy

Below are approved changes to the RIHA Admissions & Continued Occupancy Policy and the RIHA Administrative Plan for Section 8 as they relate to Rent Determination.

ADMISSIONS & CONTINUED OCCUPANCY POLICY

6-I.C. ANTICIPATING ANNUAL INCOME

Basis of Annual Income Projection

RIHA generally will use current circumstances to determine anticipated income for the coming 12-month period. HUD authorizes RIHA to use other than current circumstances to anticipate income when:

- An imminent change in circumstances is expected [HCV GB, p. 5-17]
- It is not feasible to anticipate a level of income over a 12-month period (e.g., seasonal or cyclic income) [24 CFR 5.609(d)]
- RIHA believes that past income is the best available indicator of expected future income [24 CFR 5.609(d)]

PHAs are required to use HUD's Enterprise Income Verification (EIV) system in its entirety as a third party source to verify employment and income information and to reduce administrative subsidy payment errors in accordance with HUD administrative guidance [24 CFR 5.233(a)(2)].

HUD allows PHAs to use pay-stubs to project income once EIV data has been received in such cases where the family does not dispute the EIV employer data and where RIHA does not determine it is necessary to obtain additional third-party data.

When EIV is obtained and the family does not dispute the EIV employer data, RIHA will use current tenant-provided documents to project annual income. When the tenant-provided documents are pay stubs, RIHA will make every effort to obtain current and consecutive pay stubs dated within the last 60 days.

RIHA will obtain written and/or oral third-party verification in accordance with the verification requirements and policy in Chapter 7 in the following cases:

If EIV or other UIV data is not available,

If the family disputes the accuracy of the EIV employer data, and/or

If RIHA determines additional information is needed.

In such cases, RIHA will review and analyze current data to anticipate annual income. In all cases, the family file will be documented with a clear record of the reason for the decision, and a clear audit trail will be left as to how RIHA annualized projected income.

When RIHA cannot readily anticipate income based upon current circumstances (e.g., in the case of seasonal employment, unstable working hours or suspected fraud), RIHA will review and analyze historical data for patterns of employment, paid benefits and receipt of other income and use the results of this analysis to establish annual income. Anytime current circumstances are not used to project annual income, a clear rationale for the decision will be documented in the file. In all such cases the family may present information and documentation to RIHA to show why the historic pattern does not represent the family's anticipated income.

Known Changes in Income

If RIHA verifies an upcoming increase or decrease in income, annual income will be calculated by applying each income amount to the appropriate part of the 12-month period.

When tenant-provided third-party documents are used to anticipate annual income, they will be dated within the last 60 days of the reexamination interview date.

EIV quarterly wages will not be used to project annual income at an annual or interim reexamination.

Projecting Income

In HUD's EIV webcast of January 2008, HUD made clear that PHAs are not to use EIV quarterly wages to project annual income.

6-I.H. PERIODIC PAYMENTS

Periodic payments are forms of income received on a regular basis. HUD regulations specify periodic payments that are and are not included in annual income.

Treatment of Overpayment Deductions from Social Security Benefits

The PHA must make a special calculation of annual income when the Social Security Administration (SSA) overpays an individual, resulting in a withholding or deduction from his or her benefit amount until the overpayment is paid in full. The amount and duration of the withholding will vary depending on the amount of the overpayment and the percent of the benefit rate withheld. Regardless of the amount withheld or the length of the withholding period, the PHA must use the reduced benefit amount after deducting only the amount of the overpayment withholding from the gross benefit amount [Notice PIH 2010-3].

7-I.B. OVERVIEW OF VERIFICATION REQUIREMENTS

HUD's Verification Hierarchy [Notice PIH 2010-19]

HUD authorizes RIHA to use six methods to verify family information and specifies the circumstances in which each method will be used. In general HUD requires RIHA to use the most reliable form of verification that is available and to document the reasons when RIHA uses a lesser form of verification.

In order of priority, the forms of verification that RIHA will use are:

Up-front Income Verification (UIV) using HUD's Enterprise Income Verification (EIV) system

Up-front Income Verification (UIV) using a non-HUD system

Written Third Party Verification (may be provided by applicant or resident)

Written Third-party Verification Form

Oral Third-party Verification

Self-Certification

Requirements for Acceptable Documents

Any documents used for verification must be the original (not photocopies) and generally must be dated within 60 calendar days of the date they are provided to RIHA. The documents must not be damaged, altered or in any way illegible.

Print-outs from web pages are considered original documents.

File Documentation

When RIHA is unable to obtain third-party verification, RIHA will document in the family file the reason that third-party verification was not available [24 CFR 960.259(c)(1); Notice PIH 2010-19].

7-I.C. UP-FRONT INCOME VERIFICATION (UIV)

Up-front income verification (UIV) refers to RIHA's use of the verification tools available from independent sources that maintain computerized information about earnings and benefits. UIV will be used to the extent that these systems are available to RIHA.

EIV Income Reports

The data shown on income reports is updated quarterly. Data may be between three and six months old at the time reports are generated.

RIHA will obtain income reports for annual reexaminations on a monthly basis. Reports will be generated as part of the regular reexamination process.

Income reports will be compared to family-provided information as part of the annual reexamination process. Income reports may be used in the calculation of annual income, as described in Chapter 6.I.C. Income reports may also be used to meet the regulatory requirement for third party verification, as described above. Policies for resolving discrepancies between income reports and family-provided information will be resolved as described in Chapter 6.I.C. and in this chapter.

Income reports will be used in interim reexaminations to identify any discrepancies between reported income and income shown in the EIV system, and as necessary to verify employment income, unemployment benefits and SS/SSI benefits. EIV will also be used to verify that families claiming zero income are not receiving income from any of these sources.

EIV Discrepancy Reports

RIHA will generate and review Income Discrepancy Report at least once every 6 months.

When RIHA determines that a resident appearing on the Income Discrepancy Report has not concealed or underreported income, the resident's name will be placed on a list of "false positive" reviews. To avoid multiple reviews in this situation, residents appearing on this list will be eliminated from discrepancy processing until a subsequent interim or annual reexamination has been completed.

RIHA will review the EIV discrepancy tab during processing of annual and interim reexaminations.

When it appears that a family may have concealed or underreported income, RIHA will request independent third-party written verification of the income in question.

When RIHA determines through file review and independent third-party verification that a family has concealed or underreported income, corrective action will be taken pursuant to the policies in Chapter 15, "Program Integrity."

EIV Identity Verification

The EIV system verifies resident identities against Social Security Administration (SSA) records. These records are compared to Public and Indian Housing Information Center (PIC) data for a match on social security number, name and date of birth.

PHAs are required to use EIV's *Identity Verification Report* on a monthly basis to improve the availability of income information in EIV [Notice PIH 2010-3].

When identity verification for a resident fails, a message will be displayed within the EIV system and no income information will be displayed.

RIHA will identify residents whose identity verification has failed by reviewing EIV's *Identity Verification Report* on a monthly basis. RIHA will attempt to resolve PIC/SSA discrepancies by obtaining appropriate documentation from the tenant. When the PHA determines that discrepancies exist as a result of PHA errors, such as spelling errors or incorrect birth dates, it will correct the errors promptly.

7-I.D. THIRD-PARTY WRITTEN AND ORAL VERIFICATION

HUD's current verification hierarchy defines two types of written third-party verification. The more preferable form, "written third-party verification," consists of an original document generated by a third-party source, which may be received directly from a third-party source or provided to RIHA by the family. If written third-party verification is not available, RIHA must attempt to obtain a "written third-party verification form." This is a standardized form used to collect information from a third party.

Written Third-Party Verification [Notice PIH 2010-19]

Written third-party verification documents must be original and authentic and may be supplied by the family or received from a third-party source.

Examples of acceptable tenant-provided documents include, but are not limited to: pay stubs, payroll summary reports, employer notice or letters of hire and termination, SSA benefit verification letters, bank statements, child support payment stubs, welfare benefit letters and/or printouts and unemployment monetary benefit notices.

RIHA is required to obtain, at minimum, two current and consecutive pay stubs for determining annual income from wages.

RIHA may reject documentation provided by the family if the document is not an original, if the document appears to be forged or if the document is altered, mutilated or illegible.

Third-party documents provided by the family must be dated within 60 days of RIHA request date.

If RIHA determines that third-party documents provided by the family are not acceptable, RIHA will explain the reason to the family and request additional documentation.

As verification of earned income, RIHA will request pay stubs covering the 60-day period prior to RIHA's request.

Written Third-Party Verification Form

When upfront verification is not available and the family is unable to provide written third-party documents, RIHA must request a written third-party verification form. HUD's position is that this traditional third-party verification method presents administrative burdens and risks which may be reduced through the use of family-provided third-party documents.

A written third-party verification form is mandatory when there is an unreported source of income or a substantial difference in reported income (\$2400 annually or more) and there is no UIV or tenant-provided documentation to support the income discrepancy.

PHAs may mail, fax or e-mail third-party written verification form requests to third-party sources.

RIHA will send third-party verification forms directly to the third party.

Third-party verification forms will be sent when third-party verification documents are unavailable or are rejected by RIHA.

Oral Third-Party Verification [Notice PIH 2010-19]

For third-party oral verification, PHAs contact sources, identified by UIV techniques or by the family, by telephone or in person.

Oral third-party verification is mandatory if neither form of written third-party verification is available.

Third-party oral verification may be used when requests for written third-party verification forms have not been returned within a reasonable time—e.g., 10 business days.

RIHA will document in the file the date and time of the telephone call or visit, the name of the person contacted, the telephone number, as well as the information confirmed.

In collecting third-party oral verification, RIHA staff will record in the family's file the name and title of the person contacted, the date and time of the conversation (or attempt), the telephone number used and the facts provided.

When any source responds verbally to the initial written request for verification RIHA will accept the verbal response as oral verification but will also request that the source complete and return any verification forms that were provided.

Imputed Assets

RIHA may accept a self-certification from the family as verification of assets disposed of for less than fair market value [HCV GB, p. 5-28].

RIHA will accept a self-certification from a family as verification of assets disposed of for less than fair market value [HCV GB, p. 5-28].

7-I.E. SELF-CERTIFICATION

Self-certification, or "tenant declaration," is used as a last resort when RIHA is unable to obtain third-party verification.

When RIHA relies on a tenant declaration for verification of income, assets or expenses, the family's file must be documented to explain why third-party verification was not available.

7-III.D. ALIMONY OR CHILD SUPPORT

The way RIHA will seek verification for alimony and child support differs depending on whether the family declares that it receives regular payments.

If the family declares that it *receives regular payments*, verification will be sought in the following order.

- Copy of the receipts and/or payment stubs for the 60 days prior to RIHA request

- Third-party verification form from the state or local child support enforcement agency

- Third-party verification from the person paying the support

- Family's self-certification of amount received and of the likelihood of support payments being received in the future, or that support payments are not being received.

7-III.I. ZERO ANNUAL INCOME STATUS

Families claiming to have no annual income will be required to execute a statement of zero income outlining monthly household expenses. RIHA will check UIV sources and/or request information from third-party sources to verify that certain forms of income such as unemployment benefits, TANF, SSI, etc. are not being received by families claiming to have zero annual income. These families will be required to execute the statement of zero income every month.

7-III.G. RETIREMENT ACCOUNTS

RIHA will accept written third-party documents supplied by the family as evidence of the status of retirement accounts.

The type of original document that will be accepted depends upon the family member's retirement status.

7-IV.B. MEDICAL EXPENSE DEDUCTION

Amount of Expense

Medical expenses will be verified through:

Written third-party documents provided by the family, such as pharmacy printouts or receipts.

RIHA will make a best effort to determine what expenses from the past are likely to continue to occur in the future. RIHA will also accept evidence of monthly payments or total payments that will be due for medical expenses during the upcoming 12 months.

Written third-party verification forms, if the family is unable to provide acceptable documentation.

If third-party or document review is not possible, written family certification as to costs anticipated to be incurred during the upcoming 12 months

7-IV.C. DISABILITY ASSISTANCE EXPENSES

Amount of Expense

Attendant Care

RIHA will accept written third-party documents provided by the family.

If family-provided documents are not available, RIHA will provide a third-party verification form directly to the care provider requesting the needed information.

Expenses for attendant care will be verified through:

Written third-party documents provided by the family, such as receipts or cancelled checks.

Third-party verification form signed by the provider, if family-provided documents are not available.

If third-party or document review is not possible, written family certification as to costs anticipated to be incurred for the upcoming 12 months

Auxiliary Apparatus

Expenses for auxiliary apparatus will be verified through:

Written third-party documents provided by the family, such as billing statements for purchase of auxiliary apparatus, or other evidence of monthly payments or total payments that will be due for the apparatus during the upcoming 12 months.

Third-party verification form signed by the provider, if family-provided documents are not available.

If third-party or document review is not possible, written family certification of estimated apparatus costs for the upcoming 12 months

Family Member(s) Permitted to Work

RIHA will seek third-party verification from a rehabilitation agency or knowledgeable medical professional indicating that the person with disabilities requires attendant care or an auxiliary apparatus to be employed, or that the attendant care or auxiliary apparatus enables another family member, or members, to work (See 6-II.E.). This documentation may be provided by the family.

Unreimbursed Expenses

To be eligible for the disability expenses deduction, the costs must not be reimbursed by another source.

The family will be required to certify that attendant care or auxiliary apparatus expenses are not paid by or reimbursed to the family from any source.

7-IV.D. CHILD CARE EXPENSES

Unreimbursed Expense

To be eligible for the child care deduction, the costs must not be reimbursed by another source.

The family will be required to certify that the child care expenses are not paid by or reimbursed to the family from any source.

Pursuing an Eligible Activity

Furthering Education

RIHA will request third-party documentation to verify that the person permitted to further his or her education by the child care is enrolled and provide information about the timing of classes for which the person is registered. The documentation may be provided by the family.

Gainful Employment

RIHA will seek third-party verification of the work schedule of the person who is permitted to work by the child care. In cases in which two or more family members could be permitted to work, the work schedules for all relevant family members may be verified. The documentation may be provided by the family.

ADMINISTRATIVE PLAN FOR SECTION 8

6-I.C. ANTICIPATING ANNUAL INCOME

Basis of Annual Income Projection

PHAs are required to use HUD's Enterprise Income Verification (EIV) system in its entirety as a third party source to verify employment and income information, and to reduce administrative subsidy payment errors in accordance with HUD administrative guidance [24 CFR 5.233(a)(2)].

HUD allows PHAs to use pay-stubs to project income once EIV data has been received in such cases where the family does not dispute the EIV employer data and where RIHA does not determine it is necessary to obtain additional third-party data.

When EIV is obtained and the family does not dispute the EIV employer data, RIHA will use current tenant-provided documents to project annual income. When the tenant provided documents are pay stubs, RIHA will make every effort to obtain current and consecutive pay stubs dated within the last 60 days.

6-I.H. PERIODIC PAYMENTS

Treatment of Overpayment Deductions from Social Security Benefits

RIHA must make a special calculation of annual income when the Social Security Administration (SSA) overpays an individual, resulting in a withholding or deduction from his or her benefit amount until the overpayment is paid in full. The amount and duration of the withholding will vary depending on the amount of the overpayment and the percent of the benefit rate withheld. Regardless of the amount withheld or the length of the withholding period, RIHA must use the reduced benefit amount after deducting only the amount of the overpayment withholding from the gross benefit amount [Notice PIH 2010-3].

7-I.B. OVERVIEW OF VERIFICATION REQUIREMENTS

HUD's Verification Hierarchy

HUD authorizes RIHA to use six methods to verify family information and specifies the circumstances in which each method will be used. In general HUD requires RIHA to use the most reliable form of verification that is available and to document the reasons when RIHA uses a lesser form of verification.

In order of priority, the forms of verification that RIHA will use are:

- Up-front Income Verification (UIV) using HUD's Enterprise Income Verification (EIV) system
- Up-front Income Verification (UIV) using a non-HUD system
- Written Third-Party Verification (may be provided by applicant or participant)
- Written Third-party Verification Form
- Oral Third-party Verification
- Self-Certification

Requirements for Acceptable Documents

Any documents used for verification must be the original (not photocopies) and generally must be dated within 60 calendar days of the date they are provided to RIHA. The documents must not be damaged, altered or in any way illegible.

File Documentation

When RIHA is unable to obtain 3rd party verification, RIHA will document in the family file the reason that third-party verification was not available [24 CFR 960.259(c)(1); Notice PIH 2010-19]

7-I.C. UP-FRONT INCOME VERIFICATION (UIV)

EIV Income Reports

Income reports will be used in interim reexaminations to identify any discrepancies between reported income and income shown in the EIV system, and as necessary to verify and calculate earned income, unemployment benefits and Social Security and/or SSI benefits. EIV will also be used to verify that families claiming zero income are not receiving income from any of these sources.

EIV Discrepancy Reports

Families who have not concealed or under-reported income may appear on the discrepancy report in some circumstances, such as loss of a job or addition of new family members.

RIHA will generate the Income Discrepancy Report at least once every 6 months.

When RIHA determines that a participant appearing on the Income Discrepancy Report has not concealed or under-reported income, the participant's name will be placed on a list of "false positive" reviews. To avoid multiple reviews in this situation, participants appearing on this list will be eliminated from discrepancy processing until a subsequent interim or annual reexamination has been completed.

RIHA will review the EIV discrepancy tab during processing of annual and interim reexaminations.

When it appears that a family may have concealed or under-reported income, RIHA will request third-party written verification of the income in question.

When RIHA determines through file review and third party verification that a family has concealed or under-reported income, corrective action will be taken pursuant to the policies in Chapter 14, Program Integrity.

EIV Identity Verification

The EIV system verifies tenant identities against SSA records. These records are compared to PIC data for a match on Social Security number, name and date of birth.

RIHA is required to use EIV's *Identity Verification Report* on a monthly basis to improve the availability of income information in EIV [Notice PIH 2010-3].

When identity verification for a participant fails, a message will be displayed within the EIV system and no income information will be displayed.

RIHA will identify participants whose identity verification has failed by reviewing EIV's *Identity Verification Report* on a monthly basis.

RIHA will attempt to resolve PIC/SSA discrepancies by obtaining appropriate documentation from the participant. When RIHA determines that discrepancies exist due to PHA errors such as spelling errors or incorrect birth dates, the errors will be corrected promptly.

Upfront Income Verification Using Non-HUD Systems (Optional)

In addition to mandatory use of the EIV system, HUD encourages PHAs to utilize other upfront verification sources.

RIHA will inform all applicants and participants of its use of the following UIV resources during the admission and reexamination process:

HUD's EIV system

The Work Number, Child Support Services (DHS), Governmental Assistance websites

7-I.D. THIRD-PARTY WRITTEN AND ORAL VERIFICATION

HUD's current verification hierarchy defines two types of written third-party verification. The more preferable form, "written third-party verification," consists of an original document generated by a third-party source, which may be received directly from a third-party source or provided to RIHA by the family. If written third-party verification is not available, RIHA must attempt to obtain a "written third-party verification form." This is a standardized form used to collect information from a third party.

Written Third-Party Verification [Notice PIH 2010-19]

Written third-party verification documents must be original and authentic and may be supplied by the family or received from a third-party source.

Examples of acceptable tenant-provided documents include, but are not limited to: pay stubs, payroll summary reports, employer notice or letters of hire and termination, SSA benefit verification letters, bank statements, child support payment stubs, welfare benefit letters and/or printouts, and unemployment monetary benefit notices.

RIHA is required to obtain, at minimum, two current and consecutive pay stubs for determining annual income from wages.

RIHA may reject documentation provided by the family if the document is not an original, if the document appears to be forged, or if the document is altered, mutilated, or illegible.

Third-party documents provided by the family must be dated within 60 days of RIHA request date.

If RIHA determines that third-party documents provided by the family are not acceptable, RIHA will explain the reason to the family and request additional documentation.

As verification of earned income, RIHA will request pay stubs covering the 60-day period prior to RIHA's request.

Written Third-Party Verification Form

When upfront verification is not available and the family is unable to provide written third-party documents, RIHA must request a written third-party verification form. HUD's position is that this traditional third-party verification method presents administrative burdens and risks which may be reduced through the use of family-provided third-party documents.

A written third-party verification form is mandatory when there is an unreported source of income or a substantial difference in reported income (\$2400 annually or more) and there is no UIV or tenant-provided documentation to support the income discrepancy.

PHAs may mail, fax, or e-mail third-party written verification form requests to third-party sources.

RIHA will send third-party verification forms directly to the third party.

Third-party verification forms will be sent when third-party verification documents are unavailable or are rejected by RIHA.

Oral Third-Party Verification [Notice PIH 2010-19]

For third-party oral verification, RIHA contacts sources, identified by UIV techniques or by the family, by telephone or in person.

Oral third-party verification is mandatory if neither form of written third-party verification is available.

Third-party oral verification may be used when requests for written third-party verification forms have not been returned within a reasonable time—e.g., 10 business days.

RIHA will document in the file the date and time of the telephone call or visit, the name of the person contacted, the telephone number, as well as the information confirmed.

In collecting third-party oral verification, RIHA staff will record in the family's file the name and title of the person contacted, the date and time of the conversation (or attempt), the telephone number used, and the facts provided.

When any source responds verbally to the initial written request for verification RIHA will accept the verbal response as oral verification but will also request that the source complete and return any verification forms that were provided.

When Third-Party Verification is Not Required [Notice PIH 2010-19]

Third-party verification may not be available in all situations. HUD has acknowledged that it may not be cost-effective or reasonable to obtain third-party verification of income, assets, or expenses when these items would have a minimal impact on the family's total tenant payment.

If the family cannot provide original documents, RIHA will pay the service charge required to obtain third-party verification, unless it is not cost effective in which case a self-certification will be acceptable as the only means of verification. The cost of verification will not be passed on to the family.

The cost of postage and envelopes to obtain third-party verification of income, assets, and expenses is not an unreasonable cost [VG, p. 18].

Primary Documents

Third-party verification is not required when legal documents are the primary source, such as a birth certificate or other legal documentation of birth.

Imputed Assets

HUD permits PHAs to accept a self-certification from a family as verification of assets disposed of for less than fair market value [HCV GB, p. 5-28].

RIHA will accept a self-certification from a family as verification of assets disposed of for less than fair market value.

7-I.E. SELF-CERTIFICATION

Self-certification, or "tenant declaration," is used as a last resort when RIHA is unable to obtain third-party verification.

When RIHA relies on a tenant declaration for verification of income, assets, or expenses, the family's file must be documented to explain why third-party verification was not available.

When information cannot be verified by a third party or by review of documents, family members will be required to submit self-certifications attesting to the accuracy of the information they have provided to RIHA.

RIHA may require a family to certify that a family member does not receive a particular type of income or benefit.

The self-certification must be made in a format acceptable to RIHA and must be signed by the family member whose information or status is being verified. All self-certifications must be signed in the presence of a PHA representative or PHA notary public.

7-II.B. SOCIAL SECURITY NUMBERS [24 CFR 5.216 and Notice PIH 2010-3]

The family must provide documentation of a valid social security number (SSN) for each member of the household, with the exception of individuals who do not contend eligible immigration status. Exemptions also include, existing program participants who were at least 62 years of age as of January 31, 2010, and had not previously disclosed an SSN.

RIHA must accept the following documentation as acceptable evidence of the social security number:

- An original SSN card issued by the Social Security Administration (SSA)

- An original SSA-issued document, which contains the name and SSN of the individual

- An original document issued by a federal, state, or local government agency, which contains the name and SSN of the individual, along with other identifying information of the individual

- Such other evidence of the SSN as HUD may prescribe in administrative instructions

RIHA may only reject documentation of an SSN provided by an applicant or participant if the document is not an original document, if the original document has been altered, mutilated, or is not legible, or if the document appears to be forged.

RIHA will explain to the applicant or participant the reasons the document is not acceptable and request that the individual obtain and submit acceptable documentation of the SSN to RIHA within 90 days.

In the case of Moderate Rehabilitation Single Room Occupancy (SRO) individuals, the required documentation must be provided within 90 calendar days from the date of admission into the program. RIHA must grant one additional 90-day extension if it determines that the applicant's failure to comply was due to circumstances that were beyond the applicant's control and could not have been reasonably foreseen.

RIHA will grant one additional 90-day extension if needed for reasons beyond the participant's control such as delayed processing of the SSN application by the SSA, natural disaster, fire, death in the family, or other emergency. If the individual fails to comply with SSN disclosure and documentation requirements upon expiration of the provided time period, RIHA will terminate the individual's assistance.

When the participant requests to add a new household member who is at least 6 years of age, or who is under the age of 6 and has an SSN, the participant must provide the complete and accurate SSN assigned to each new member at the time of reexamination or recertification, in addition to the documentation required to verify it. RIHA may not add the new household member until such documentation is provided.

When a participant requests to add a new household member who is under the age of 6 and has not been assigned an SSN, the participant must provide the SSN assigned to each new child and the required documentation within 90 calendar days of the child being added to the household. A 90-day extension will be granted if RIHA determines that the participant's failure to comply was due to unforeseen circumstances and was outside of the participant's control. During the period RIHA is awaiting documentation of the SSN, the child will be counted as part of the assisted household.

RIHA will grant one additional 90-day extension if needed for reasons beyond the participant's control such as delayed processing of the SSN application by the SSA, natural disaster, fire, death in the family, or other emergency.

Social security numbers must be verified only once during continuously-assisted occupancy.

RIHA will verify each disclosed SSN by:

Obtaining documentation from applicants and participants that is acceptable as evidence of social security numbers

Making a copy of the original documentation submitted, returning it to the individual, and retaining a copy in the file folder

Once the individual's verification status is classified as "verified," RIHA should remove and destroy copies of documentation accepted as evidence of social security numbers by no later than the next reexamination.

Once an individual's status is classified as "verified" in HUD's EIV system, RIHA will remove and destroy copies of documentation accepted as evidence of social security numbers by no later than the next reexamination.

7-II.D. FAMILY RELATIONSHIPS

Separation or Divorce

Certification by the head of household is normally sufficient verification. If RIHA has reasonable doubts about a separation or divorce, RIHA will require the family to document the divorce, or separation.

A certified copy of a divorce decree, signed by a court officer, is required to document that a couple is divorced.

A copy of a court-ordered maintenance or other court record is required to document a separation.

If no court document is available, documentation from a community-based agency or a Pastor will be accepted.

7-III.D. ALIMONY OR CHILD SUPPORT

The way RIHA will seek verification for alimony and child support differs depending on whether the family declares that it receives regular payments.

If the family declares that it *receives regular payments*, verification will be sought in the following order.

Copy of the receipts and/or payment stubs for the 60 days prior to RIHA request

Third-party verification form from the state or local child support enforcement agency

Third-party verification form from the person paying the support

Family's self-certification of amount received and of the likelihood of support payments being received in the future, or that support payments are not being received.

7-III.G. RETIREMENT ACCOUNTS

RIHA will accept written third-party documents supplied by the family as evidence of the status of retirement accounts.

The type of original document that will be accepted depends upon the family member's retirement status.

7-III.I. ZERO ANNUAL INCOME STATUS

RIHA will check UIV sources and/or request information from third-party sources to verify that certain forms of income such as unemployment benefits, TANF, SSI, etc., are not being received by families claiming to have zero annual income.

Families claiming to have no annual income will be required to execute a statement of zero income outlining monthly household expenses and may be required to execute verification forms to determine that certain forms of income such as unemployment benefits, TANF, SSI, etc. are not being received by the household. These families will be required to execute the statement of zero income every two months.

7-IV.B. MEDICAL EXPENSE DEDUCTION

Amount of Expense

Medical expenses will be verified through:

Written third-party documents provided by the family, such as pharmacy printouts or receipts.

RIHA will make a best effort to determine what expenses from the past are likely to continue to occur in the future. RIHA will also accept evidence of monthly payments or total payments that will be due for medical expenses during the upcoming 12 months.

Written third-party verification form signed by the provider, if the family is unable to provide acceptable documentation

If third-party or document review is not possible, written family certification as to costs anticipated to be incurred during the upcoming 12 months

7-IV.C. DISABILITY ASSISTANCE EXPENSES

Amount of Expense

Attendant Care

RIHA will accept written third-party documents provided by the family.

If family-provided documents are not available, RIHA will provide a third-party verification form directly to the care provider requesting the needed information.

Expenses for attendant care will be verified through:

Written third-party documents provided by the family, such as receipts or cancelled checks.

Written third-party verification form signed by the provider, if family-provided documents are not available.

If third-party or document review is not possible, written family certification as to costs anticipated to be incurred for the upcoming 12 months

Auxiliary Apparatus

Expenses for auxiliary apparatus will be verified through:

Written third-party documents provided by the family, such as billing statements for purchase of auxiliary apparatus, or other evidence of monthly payments or total payments that will be due for the apparatus during the upcoming 12 months.

Third-party verification signed by the provider, if family-provided documents are not available.

If third-party or document review is not possible, written family certification of estimated apparatus costs for the upcoming 12 months

Family Member(s) Permitted to Work

RIHA must verify that the expenses claimed actually enable a family member, or members, (including the person with disabilities) to work.

RIHA will seek third-party verification from a rehabilitation agency or knowledgeable medical professional indicating that the person with disabilities requires attendant care or an auxiliary apparatus to be employed or that the attendant care or auxiliary apparatus enables another family member, or members, to work (See 6-II.E.). This documentation may be provided by the family.

If third-party verification has been attempted and is either unavailable or proves unsuccessful, the family must certify that the disability assistance expense frees a family member, or members (possibly including the family member receiving the assistance), to work.

Unreimbursed Expenses

To be eligible for the disability expenses deduction, the costs must not be reimbursed by another source.

The family will be required to certify that attendant care or auxiliary apparatus expenses are not paid by or reimbursed to the family from any source.

7-IV.D. CHILD CARE EXPENSES

Unreimbursed Expense

To be eligible for the child care deduction, the costs must not be reimbursed by another source.

The family will be required to certify that the child care expenses are not paid by or reimbursed to the family from any source.

Pursuing an Eligible Activity

Furthering Education

RIHA will request third-party documentation to verify that the person permitted to further his or her education by the child care is enrolled and provide information about the timing of classes for which the person is registered. The documentation may be provided by the family.

Gainful Employment

RIHA will seek verification from the employer of the work schedule of the person who is permitted to work by the child care. In cases in which two or more family members could be permitted to work, the work schedules for all relevant family members may be verified. The documentation may be provided by the family.

Operations and Management

RIHA has adopted a new Section 3 Policy. This approved plan follows in its entirety.

ROCK ISLAND HOUSING AUTHORITY

SECTION 3 PLAN

1.0 POLICY STATEMENT

It is the policy of the Rock Island Housing Authority (RIHA) to comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and to follow the standards and procedures established in 24 CFR Part 135 to ensure that the objectives of Section 3 are met.

2.0 SECTION 3 PURPOSE

The purpose of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) (Section 3) is to ensure that employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, and consistent with existing Federal, State and local laws and regulations, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons.

The purpose of 24 CFR Part 135 is to establish the standards and procedures to be followed to ensure that the objectives of Section 3 are met.

3.0 APPLICABILITY

Section 3 applies to training, employment, contracting and other economic opportunities arising from the expenditure of the following public housing assistance:

- Development assistance provided pursuant to section 5 of the U.S. Housing Act of 1937 (1937 Act)
- Operating assistance provided pursuant to section 9 of the 1937 Act
- Modernization assistance provided pursuant to section 14 of the 1937 Act.

4.0 NUMERICAL GOALS

RIHA and covered contractors may demonstrate compliance with the requirements of Section 3 by meeting the numerical goals set forth below. The goals apply to all Section 3-covered assistance awarded to RIHA in any Federal Fiscal Year (FY).

1. Employment
 - Committing to employ Section 3 residents for 30 percent of the aggregate number of new hires for one year period; and,
2. Contracts
 - Committing to award to Section 3 business concerns at least ten percent (10%) of the total dollar amount of all Section 3 covered contracts for building trades work for maintenance, repair, modernization or development of public housing, or for building trades work arising in connection with housing rehabilitation, housing construction and other public construction; and

- Committing to award to Section 3 business concerns at least three percent (3%) of the total dollar amount of all other Section 3 covered contracts.

Contractors may comply by one or more of the following options:

1. Employ Section 3 residents for 30 percent of the aggregate number of new hires for one year period; and,
2. Subcontract or joint venture at least 10% of the total contract value with a Section 3 business or resident owned business; or,
3. Contractor incurs the cost of providing skilled training for residents (10% of the total contract value for building trades, 3% for all other covered contracts); or,
4. Contractor makes a contribution to RIHA's Section 3 Resident Education/Training Fund to provide assistance to residents to obtain training (10% of the total contract value for building trades, 3% for all other covered contracts).

5.0 CONTRACTORS

For Section 3 covered contracts, contractors must indicate in their bid and/or proposal by which option(s) they will comply. Contractors who fail to comply will default to making a contribution to RIHA's Education/Training Fund before final contract payment is made by RIHA.

Contractors for building trades work for maintenance, repair, modernization or development of public housing, or for building trades work arising in connection with housing rehabilitation, housing construction and other public construction must breakout their bids costs by labor hours and dollar amount by trade. For construction contracts, the labor component will be that portion of the contract dedicated to labor as indicated on the Schedule of Values prior to Overhead and Profit.

6.0 SECTION 3 RESIDENT EDUCATION/TRAINING FUND

RIHA is committed to providing education and training to residents and eligible participants to become gainfully employed. An escrow account titled Section 3 Resident Education/Training Fund is established to receive funds contributed by contractors that choose (or default to) this option to meet their Section 3 obligations. These funds will be kept separate from other RIHA funds and used exclusively for the training and education of Section 3 Residents.

- Contractors, subcontractors and RIHA may contribute to this account.
- RIHA's Section 3 Coordinator is responsible for the account; all account activity is closely monitored by the Executive Director; and the account is audited annually by RIHA's independent auditor.
- Checks on the account are handled in the same manner as checks written on the general fund; two signatures are required and only persons approved by RIHA's Board of Commissioner may sign the checks.
- Eligible educational and training activities for which Section 3 Resident Education/Training Funds may be used include, but are not limited to: contract(s) with training provider(s), school tuition and fees, training materials and books, training classes, instructors and trainers, transportation to and from training, baby sitting costs while parent(s) attends training, and other costs recommended by the Section 3 Coordinator and approved by the Executive Director.
- RIHA may contract with the Illinois WorkNet Center, University of Illinois Extension

Service, local schools, or other such agency to provide education and training to Section 3 Residents.

- RIHA's Maintenance Department may employ Section 3 Residents as temporary casual labor and provide them basic maintenance skills training in cleaning and painting vacant units, grass mowing and grounds care. RIHA would then have the option of contracting with the trained residents to help prepare vacant units and maintain Housing Authority grounds.

7.0 SECTION 3 RESPONSIBILITIES

RIHA has the responsibility to comply with Section 3 in its own operations, and ensure compliance in the operations of its contractors and subcontractors. This responsibility includes but may not be necessarily limited to:

- Implementing procedures designed to notify Section 3 residents about training and employment opportunities generated by Section 3 covered assistance and Section 3 business concerns about contracting opportunities generated by Section 3 covered assistance;
- Notifying potential contractors for Section 3 covered projects of the requirements of this part, and incorporating the Section 3 clause set forth in Sec. 135.38 in all solicitations and contracts.
- Facilitating the training and employment of Section 3 residents and the award of contracts to Section 3 business concerns by undertaking activities to reach the numerical goals set forth above (30% new hires, 10% building trades work and 3% other contracts)
- Refraining from entering into any contract with any contractor where the recipient has notice or knowledge that the contractor has been found in violation of the regulations in 24 CFR part 135.
- Documenting actions taken to comply with the requirements of this part, the results of actions taken and impediments, if any.

8.0 SECTION 3 RESIDENT PREFERENCES

8.1 Preference for Section 3 Residents

Category 1 Residents: Residents of the housing development or developments for which the Section 3 covered assistance is expended.

Category 2 Residents: Residents of other housing developments managed by RIHA that is expending the Section 3 covered housing assistance.

Category 3 Residents: Participants in HUD Youthbuild programs being carried out in Rock Island.

Category 4 Residents: Other Section 3 residents.

8.2 Eligibility for Preference.

A Section 3 resident seeking the preference in training and employment shall certify, or submit suitable evidence to RIHA that the person is a Section 3 resident.

8.3 Eligibility for employment

This Section 3 Policy does not require the employment of a Section 3 resident who does not

meet the qualifications of the position to be filled.

9.0 PREFERENCE FOR SECTION 3 BUSINESS CONCERNS

9.1 Preference for Section 3 business concerns

Efforts shall be directed to award contracts to Section 3 business concerns in the following order of priority:

Category 1 Businesses: Business concerns that are 51 percent or more owned by residents of the housing development or developments for which the Section 3 covered assistance is expended, or whose full-time, permanent workforce includes 30 percent of these persons as employees.

Category 2 Businesses: Business concerns that are 51 percent or more owned by residents of other housing developments or developments managed by RIHA that is expending the Section 3-covered assistance, or whose full-time, permanent workforce includes 30 percent of these persons as employees

Category 3 Businesses: HUD Youthbuild programs being carried out in Rock Island

Category 4 Businesses: Business concerns that are 51 percent or more owned by Section 3 residents, or whose permanent, full-time workforce includes no less than 30 percent Section 3 residents, or that subcontract in excess of 25 percent of the total amount of subcontracts to Category 1 and Category 2 business concerns.

9.2 Eligibility for preference

A business concern seeking to qualify for a Section 3 contracting preference shall certify or submit evidence to RIHA that the business concern is a Section 3 business concern as defined above.

9.3 Ability to complete contract

A Section 3 business concern seeking a contract or a subcontract shall submit evidence to RIHA, contractor, or subcontractor (as applicable), sufficient to demonstrate to the satisfaction of the party awarding the contract that the business concern is responsible and has the ability to perform successfully under the terms and conditions of the proposed contract.

10.0 SECTION 3 CLAUSE

All Section 3 covered contracts shall include the following clause (referred to as the Section 3 clause):

A. The work to be performed under this contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (Section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by Section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.

B. The parties to this contract agree to comply with HUD's regulations in 24 CFR part 135, which implement Section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the part 135 regulations.

C. The contractor agrees to send to each labor organization or representative of workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this Section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the Section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

D. The contractor agrees to include this Section 3 clause in every subcontract subject to compliance with regulations in 24 CFR part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this Section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR part 135. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR part 135.

E. The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR part 135 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR part 135.

F. Noncompliance with HUD's regulations in 24 CFR part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.

G. With respect to work performed in connection with Section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e) also applies to the work to be performed under this contract. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indians, and (ii) preference in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned Economic Enterprises. Parties to this contract that are subject to the provisions of Section 3 and section 7(b) agree to comply with Section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).

11.0 CERTIFICATIONS

11.1 Section 3 Program Participant Certification

A Section 3 resident seeking the preference in training and employment shall complete the Section 3 Resident Certification form (see Attachment A of this document), or submit evidence to RIHA's Section 3 Coordinator, the recipient contractor or subcontractor that the person is a Section 3 resident, as defined in 24 CFR Part 135.5. An example of evidence of eligibility for the preference is evidence of receipt of public assistance, or evidence of participation in a public assistance program.

11.2 Section 3 Program Participant Certification Procedure

Any business seeking Section 3 preference in the awarding of contracts or purchase agreements with RIHA shall complete the Certification for Business Concerns Seeking Section 3 Preference in Contracting and Demonstration of Capability form, (see Attachment B of this document). The business seeking Section 3 preference must provide adequate documentation as evidence of eligibility for preference under the Section 3 Program to be accepted by RIHA as a Section 3 Business Concern.

Certifications for Section 3 preference for business concerns must be submitted to RIHA's Section 3 Coordinator in sufficient time prior to the submission of bids to allow time for review and approval. The Section 3 Coordinator shall prepare a letter of confirming certification upon approval that should be submitted along with the bid. Certifications over six (6) months old are subject to further review by RIHA.

11.3 Forms

Forms may be obtained from RIHA's Section 3 Coordinator.

12.0 PROCUREMENT

12.1 Section 3 Business Procurement Preference

RIHA has adopted procurement procedures that provide for preference for Section 3 Business Concerns (see Appendix C of this document).

12.2 Resident Owned Business Procurement Policy

RIHA has adopted an Alternative Procurement Process Policy for Resident Owned Businesses (see Appendix D of this document).

13.0 REPORTING

Each recipient who receives directly from HUD financial assistance that is subject to the requirements of Section 3 shall submit to HUD an annual report in such form and with such information as HUD may request, for the purpose of determining the effectiveness of Section 3 (form HUD-60002). Where the program providing the Section 3-covered assistance requires submission of an annual performance report, the Section 3 report will be submitted with that annual performance report. If the program providing the Section 3 covered assistance does not require an annual performance report, the Section 3 report is to be submitted by January 10 of each year or within 10 days of project completion, whichever is earlier. All reports submitted to HUD in accordance with the requirements of this part will be made available to the public.

14.0 COMPLAINTS

In an effort to resolve complaints through an internal process, RIHA encourages submittal of such complaints to its Section 3 Coordinator as follows:

- Complaints of non-compliance should be filed in writing and must contain the name of the complainant and brief description of the alleged violation.
- Complaints must be filed within thirty (30) calendar days after the complainant becomes aware of the alleged violation.
- An investigation will be conducted if the complaint is found to be valid. The Section 3 Coordinator will conduct an informal, but thorough investigation affording all interested parties the opportunity to submit testimony and/or evidence pertinent to the complaint.
- The Section 3 Coordinator will provide written documentation detailing the findings of the investigation. RIHA will review the findings for accuracy and completeness before it is released to complainants. The findings will be made available no later than thirty (30) days after the filing of complaint.

If complainants wish to have their concerns considered outside of RIHA, a complaint may be filed with:

Assistant Secretary for Fair Housing and Equal Opportunity
United States Department of Housing and Urban Development
451 Seventh Street, SW
Washington, DC 20410

The complaint must be received not later than 180 days from the date of the action or omission upon which the complaint is based, unless the time for filing is extended by the Assistant Secretary for good cause shown.

15.0 DEFINITIONS

Applicant – Any entity which makes an application for Section 3 covered assistance, and includes, but is not limited to, any State, unit of local government, public housing agency or other public body, public or private nonprofit organization, private agency or institution, mortgagor, developer, limited dividend sponsor, builder, property manager, community housing development organization, resident management corporation, resident council, or cooperative association.

Assistant – the Assistant Secretary for Fair Housing and Equal Opportunity.

Business Concern – a business entity formed in accordance with State law, and which is licensed under State, county or municipal law to engage in the type of business activity for which it was formed.

Contractor - any entity which contracts to perform work generated the expenditure of Section 3 covered assistance, or for work in connection with a Section 3 covered project.

Employment Opportunities Generated by Section 3 Covered Assistance – all employment opportunities generated by the expenditure of Section 3 covered public assistance (i.e., operating assistance, development assistance and modernization assistance, (as described in Section 135.3 (a) (1)). With respect to Section 3 covered housing and community development assistance, this term means all employment opportunities arising in connection with Section 3 covered projects (as described in Section 135.3 (a) (2)), including management and administrative jobs. Management and administrative jobs include architectural, engineering or related professional services required to prepare plans, drawings, specifications, or work write-ups; and jobs directly related to administrative support of these activities, e.g., construction manager, relocation specialist, payroll clerk, etc.

Housing Authority (HA) – Public Housing Agency.

Housing Development – low-income housing owned, developed, or operated by public housing agencies in accordance with HUD’s public housing program regulations codified in 24 CFR Chapter IX.

HUD Youthbuild Programs – programs that receive assistance under subtitle D of Title IV of the National Affordable Housing Act, as amended by the Housing and Community Development Act of 1992 (42 U.S.C. 12899), and provide disadvantaged youth with opportunities for employment, education, leadership development, and training in the construction or rehabilitation of housing for homeless individuals and members of low- and very low-income families.

JTPA – The Job Training Partnership Act (29 U.S.C. 1579 (a)).

Low-income person – families (including single persons) whose incomes do not exceed 80 per centum of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 per centum of the median for the area on the basis of the Secretary’s findings that such variations are necessary because of prevailing levels of construction costs or unusually high or low-income families.

Metropolitan Area – a metropolitan statistical area (MSA), as established by the Office of Management and Budget.

RIHA – Rock Island Housing Authority

New Hires – full-time employees for permanent, temporary or seasonal employment opportunities.

Recipient – any entity which receives Section 3 covered assistance, directly from HUD or from another recipient and includes, but is not limited to, any State unit of local government, PHA, or other public body, public or private nonprofit organization, private agency or institution, mortgagor, developer, limited dividend sponsor, builder, property manager, community housing development organization, resident management corporation, resident council, or cooperative association. Recipient also includes any successor, assignee or transferee of any such entity, but does not include any ultimate beneficiary under the HUD program to which Section 3 applies and does not include contractors.

Section 3 – Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701u).

Section 3 Business Concern – a business concern,

- 1) That is 51 percent or more owned by Section 3 resident: or
- 2) Whose permanent, full-time employees include persons, at least 30 percent of whom are currently Section 3 residents, or within three years of the date of first employment with the business concern were Section 3 residents; or
- 3) That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontractors to be awarded to business concerns that meet the qualifications set forth in paragraphs 1 or 2 above.

Section 3 Covered Assistance –

- 1) public housing development assistance provided pursuant to Section 5 of the 1937 Act;
- 2) public housing operating assistance provided pursuant to Section 9 of the 1937 Act;
- 3) public housing modernization assistance provided pursuant to Section 14 of the 1937 Act;
- 4) assistance provided under any HUD housing or community development program that is expended for work arising in connection with housing rehabilitation, construction, or other public construction project (which includes other buildings or improvements, regardless of ownership).

Section 3 Clause – the contract provisions set forth in Section 135.38.

Section 3 Covered Contracts – a contract or subcontract (including a professional service contract) awarded by a recipient or contractor for work generated by the expenditure of Section 3 covered assistance, or for work arising in connection with a Section 3 covered project. Section 3 covered contracts do not include contracts awarded under HUD’s procurement

program, which are governed by the Federal Acquisition Regulation (FAR). Section 3 covered contracts also do not include contracts for the purchase of supplies and materials. However, whenever a contract for materials includes the installation of the materials, the contract constitutes a Section 3 covered contract.

Section 3 Covered Project - the construction, reconstruction, conversion or rehabilitation of housing (including reduction and abatement of lead-based paint hazards), other public construction which includes buildings or improvements (regardless of ownership) assisted with housing or community development assistance.

Section 3 Resident – a public housing resident or an individual who resides in the metropolitan area or nonmetropolitan county in which the Section 3 covered assistance is expended and who is considered to be a low-to very low-income person.

Subcontractor – any entity (other than a person who is an employee of the contractor) which has a contract with a contractor to undertake a portion of the contractor's obligation for the performance of work generated by the expenditure of Section 3 covered assistance, or arising in connection with a Section 3 covered project.

Very low-income person – families (including single persons) whose income do not exceed 50 per centum of the median family income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.

ATTACHMENT A: SECTION 3 RESIDENT CERTIFICATION FORM

ROCK ISLAND HOUSING AUTHORITY

SECTION 3 RESIDENT CERTIFICATION FORM

Eligibility for Preference

The definition of a Section 3 Resident is presented on the back of this page. A Section 3 resident seeking the preference in training and employment provided by this part shall certify, or submit evidence to the recipient contractor or subcontractor, if requested, that the person is a Section 3 resident, as defined in Section 135.5. (An example of evidence of eligibility for the preference is evidence of receipt of public assistance, or evidence of participation in a public assistance program.)

Certification for Section 3 Resident Seeking Preference in Training and Employment

I, _____, do hereby certify that I am a Section 3 Resident per the following marked category:

- ☐ **Category 1 Residents:** Residents of the housing development or developments for which the Section 3 covered assistance is expended.
- ☐ **Category 2 Residents:** Residents of other housing developments managed by the Rock Island Housing Authority
- ☐ **Category 3 Residents:** Participants in HUD Youthbuild programs being carried out in Rock Island County.
- ☐ **Category 4 Residents:** Other Section 3 residents.

My permanent address is: _____

I have attached the following documentation as evidence of my status:

- ☐ Copy of lease
- ☐ Copy of receipt of public assistance
- ☐ Copy of Evidence of participation
- ☐ Other evidence

in a public assistance program

Signature

Date

DEFINITION OF A SECTION 3 RESIDENT

All Rock Island Housing Authority residents qualify as Section 3 residents.

Additionally, individuals residing in Rock Island who meet the income limits set forth below can also qualify for Section 3 Resident status.

A picture identification card and proof of current residency is required.

Eligibility Guideline

Number in Household	Very Low Income	Low Income
1 individual		
2 individuals		
3 individuals		
4 individuals		
5 individuals		
6 individuals		
7 individuals		
8 individuals		

.

ATTACHMENT B: SECTION 3 BUSINESS CERTIFICATION FORM
CERTIFICATION FOR BUSINESS CONCERNS SEEKING SECTION 3
PREFERENCE IN CONTRACTING AND DEMONSTRATION OF CAPABILITY

Name of Business _____

Address of Business _____

Type of Business: ☐ Corporation
☐ Partnership
☐ Sole Proprietorship ☐ Joint Venture

Attached is the following documentation as evidence of status:

For Business claiming status as a Section 3 resident-owned enterprise:

- ☐ Copy of resident lease ☐ Copy of receipt of public assistance
☐ Copy of evidence of participation in a public assistance program ☐ Other evidence

For business entity as applicable:

- ☐ Copy of Articles of Incorporation ☐ Certificate of Good Standing
☐ Assumed Business Name Certificate ☐ Partnership Agreement
☐ List of owners/stockholders and % ownership of each ☐ Corporation Annual Report
☐ Latest Board minutes appointing officers
☐ Organization chart with names and titles ☐ Additional documentation and brief function statement

For business claiming Section 3 status by subcontracting 25 percent of the dollar awarded to qualified Section 3 business:

- ☐ List of subcontracted Section 3 business(es) and subcontract amount

For business claiming Section 3 status, claiming at least 30 percent of their workforce are currently Section 3 residents or were Section 3 eligible residents within 3 years of date of first employment with the business:

- ☐ List of all current full-time employees ☐ List of employees claiming Section 3 status
☐ PHA/IHA Residential lease less than 3 years from day of employment ☐ Other evidence of Section 3 status less than 3 years from date of employment

Evidence of ability to perform successfully under the terms and conditions of the proposed contract:

- ☐ Current financial statement
☐ Statement of ability to comply with public policy
☐ List of owned equipment
☐ List of all contracts for the past two years

Authorizing Name and Signature

(Corporate Seal)

Attested by:_____

ATTACHMENT C: SECTION 3 BUSINESS PROCUREMENT PREFERENCE

PROCUREMENT PROCEDURES THAT PROVIDE FOR PREFERENCE FOR SECTION 3 BUSINESS CONCERNS

This Rock Island Housing Authority document provides specific procedures that may be followed by recipients and contractors (collectively, referred to as the “contracting party”) for implementing the Section 3 contracting preference for each of the competitive procurement methods authorized in 24 CFR 85.36(d).

1.0 Small Purchase Procedures

For Section 3 covered contracts aggregating no more than \$100,000, small purchase procedures may be utilized. Under small purchase procedures, RIHA shall obtain a reasonable number of quotes (preferably three); however, for purchases of less than \$2,000, also known as Micro Purchases, only one quote is required provided the quote is considered reasonable.

1.1 Solicitation

Quotations may be solicited by telephone, letter or other informal procedure provided that the manner of solicitation provides for participation by a reasonable number of competitive sources. At the time of solicitation, the parties shall be informed of:

- the Section 3 covered contract to be awarded with sufficient specificity;
- the time within which quotations must be submitted; and
- the information that must be submitted with each quotation.

If the method described in the above paragraph is utilized, there shall be an attempt to obtain quotations from a minimum of three qualified sources in order to promote competition. Fewer than three quotations are acceptable when the contracting party has attempted, but has been unable, to obtain a sufficient number of competitive quotations. In unusual circumstances, the contracting party may accept the sole quotation received in response to a solicitation provided the price is reasonable. In all cases, the contracting party shall document the circumstances when it has been unable to obtain at least three quotations.

1.2 Award

Where the Section 3-covered contract is to be awarded based upon the lowest price, the contract shall be awarded to the qualified Section 3 business concern with the lowest responsive quotation, if it is reasonable and no more than 10 percent higher than the quotation of the lowest responsive quotation from any qualified source. If no responsive quotation by a qualified Section 3 business concern is within 10 percent of the lowest responsive quotation from any qualified source, the award shall be made to the source with the lowest quotation.

Where the Section 3-covered contract is to be awarded based on factors other than price, a request for quotations shall be issued by developing the particulars of the solicitation, including a rating system for the assignment of points to evaluate the merits of each quotation. The solicitation shall identify all factors to be considered, including price or cost. The rating system shall provide for a range of 15 to 25 percent of the total number of available rating points to be set aside for the provision of preference for Section 3 business concerns. The contract shall be

awarded to the responsible firm whose quotation is the most advantageous, considering price and all other factors specified in the rating system.

2.0 Procurement by sealed bids (Invitations for Bids)

Sealed bidding shall be used for all contracts that exceed the small purchase threshold. Preference in the award of Section 3 covered contracts that are awarded under a sealed bid (IFB) process may be provided as follows:

Bids shall be solicited from all businesses (Section 3 business concerns, and non-Section 3 business concerns). An award shall be made to the qualified Section 3 business concern with the highest priority ranking and with the lowest responsive bid if that bid....

- (A) is within the maximum total contract price established in the contracting party's budget for the specific project for which bids are being taken, and
- (B) is not more than "X" higher than the total bid price of the lowest responsive bid from any responsible bidder. "X" is determined as follows:

X=lesser of:

When the lowest responsive bid is less than \$100,000.	10% of that bid or \$9,000.
--------------------------------------------------------	-----------------------------

When the lowest responsive bid is:

At least \$100,000, but less than \$200,000.	9% of that bid, or \$16,000.
----------------------------------------------	------------------------------

At least \$200,000, but less than \$300,000.	8% of that bid, or \$21,000.
----------------------------------------------	------------------------------

At least \$300,000, but less than \$400,000.	7% of that bid, or \$24,000.
----------------------------------------------	------------------------------

At least \$400,000, but less than \$500,000.	6% of that bid, or \$25,000.
----------------------------------------------	------------------------------

At least \$500,000, but less than \$1 million.	5% of that bid, or \$40,000.
------------------------------------------------	------------------------------

At least \$1 million, but less than \$2 million.	4% of that bid, or \$60,000.
--------------------------------------------------	------------------------------

At least \$2 million, but less than \$4 million.	3% of that bid, or \$80,000.
--------------------------------------------------	------------------------------

At least \$4 million, but less than	2% of that bid, or \$105,000.
-------------------------------------	-------------------------------

\$7 million.

\$7 million or more

1 1/2% of the lowest

responsive bid, with no dollar limit.

If no responsive bid by a Section 3 business concern meets the requirements of this section, the contract shall be awarded to a responsible bidder with the lowest responsive bid.

3.0 Procurement under the competitive proposals method of procurement (Request for Proposals (RFP)).

For contracts and subcontracts awarded under the competitive proposals method of procurement (24 CFR 85.36(d)(3)), a Request for Proposals (RFP) shall identify all evaluation factors (and their relative importance) to be used to rate proposals.

One of the evaluation factors shall address both the preference for Section 3 business concerns and the acceptability of the strategy for meeting the greatest extent feasible requirement (Section 3 strategy), as disclosed in proposals submitted by all business concerns (Section 3 and non-Section 3 business concerns). This factor shall provide for a range of 15 to 25 percent of the total number of available points to be set aside for the evaluation of these two components.

The component of this evaluation factor designed to address the preference for Section 3 business concerns shall establish a preference for these business concerns in the order of priority ranking as described in 24 CFR 135.36.

With respect to the second component (the acceptability of the Section 3 strategy), the RFP shall require the disclosure of the contractor's Section 3 strategy to comply with the Section 3 training and employment preference, or contracting preference, or both, if applicable. A determination of the contractor's responsibility will include the submission of an acceptable Section 3 strategy. The contract award shall be made to the responsible firm (either Section 3 or non-Section 3 business concern) whose proposal is determined most advantageous, considering price and all other factors specified in the RFP.

ATTACHMENT D: RESIDENT OWNED BUSINESS PROCUREMENT POLICY

ALTERNATIVE PROCUREMENT PROCESS POLICY FOR RESIDENT OWNED BUSINESS

1.0 Authority for policy

Alternative Procurement Process for Resident Owned Business is defined in 24CFR Part 963 – Public Housing – Contracting with Resident Owned Businesses

2.0 Eligibility

To be eligible, a resident owned business must meet the following requirements and must submit evidence of fact to the Rock Island Housing Authority.

- Legally formed business as evidenced by Secretary of State certificate or city/county business license
- Resident Owned business as evidenced by disclosure of all business owners, officers and investors. The business shall submit such evidence as required by the Authority that the owners, officers and investors identified as public housing residents currently reside in public housing within Rock Island. The business must be 51% or more owned by a Rock Island Housing Authority public housing resident to qualify.
- Capable of Handling the Contract. The business shall submit sufficient evidence, to the satisfaction of the Authority, that the business has the ability to successfully fulfill the contract requirements in a timely manner.
- Total Contract Amounts under the Alternative Procurement Process Policy. The business shall submit a certification as to the total number of contracts and total dollar amounts awarded and received under the Alternative Procurement Process.

3.0 Limitations on Alternative Procurement Contract Awards

A resident owned business is not eligible to participate in the Alternative Procurement Process if the business has received under this process one or more contracts with a total combined dollar value of \$1,000,000.

4.0 Procurement Limited to Resident Owned Business

The Rock Island Housing Authority's Board of Commissioners must approve what, if any, services or contracts will be subject to procurement under the Alternative Procurement Process for Resident Owned Business. Typical services and contracts may include, but are not limited to: vacancy prep, routine cleaning, painting, mowing, snow removal, etc.

5.0 Independent Cost Estimate

An award shall not be made to a resident owned business if the contract amount exceeds the independent cost estimate required by 24CFR 85.36 (f) and the price normally paid by the Authority for comparable services.

6.0 Procurement Process

With the exception of limiting the procurement to resident owned businesses, the Rock Island Housing Authority shall follow all other Housing Authority procurement policies, procedures and requirements when contracting with a resident owned business. Resident owned businesses qualify as Section 3 business concerns and are covered by the Housing Authority's procurement procedures that provide for preference for Section 3 business concerns.

7.0 Record Keeping

In addition to the record keeping requirements imposed by 24CFR 85.36 (i), the Authority shall also maintain the following records:

- Direct mailings to residents advertising for price quotes, proposals, bids, etc
- Resident owned business responses
- Response evaluations
- Basis for contract award
- Independent cost estimate
- Proof of eligibility
- Resident Owned Business Certificate of contract awards under Alternative Procurement Process
- Contract award document

ATTACHMENT E: SECTION 3 CONSTRUCTION BID DOCUMENTS

The following documents shall be included in the bidding documents for all RIHA sealed bid construction projects.

1. The Section 3 Clause – Article 10.0 of the RIHA Section 3 Plan (24 CFR part 135.38)
2. Article 4.0 – Numerical Goals, of the RIHA Section 3 Plan
3. Article 5.0 – Contractors, of the RIHA Section 3 Plan
4. Article 2.0 of the Procurement Procedures that Provide Preference for Section 3 Business Concerns – Attachment C of the RIHA Section 3 Plan
5. Attachment F: Section 3 Utilization Plan – (including Schedule A and the Schedule A Labor Survey Table)
6. A modified Bid Form that provides a space for the Bidder to identify which Option(s) they will be using to meet their Section 3 obligations and the value of labor of the contract.

ATTACHMENT F: SECTION 3 UTILIZATION PLAN

Business Opportunities and Employment Training of the Rock Island Housing Authority Public Housing Residents and Low and Very Low Income Neighborhood Residents

Name of Prime Contractor: _____

Address: _____

Title of Project: _____

Project #: _____

Please check the Option(s) that describe your contracting efforts:

- ☐ Option 1: Our firm is a Section 3 Business
- ☐ Option 2: Subcontract with Section 3 Business(es) _____%
- ☐ Option 3: Hire Section 3 residents/participants _____%
- ☐ Option 4: I have a training program in place and am willing to train _____ residents _____%
- ☐ Option 5: Contribute to the RIHA training/educational fund for resident training _____%

You may comply by choosing one or all options. Remember your compliance must be equal to 100%, or any remaining percentages will be deducted from payouts and placed in the RIHA` Resident Training/Educational Fund.

In the event I am awarded the contract, I have the option to submit my check in the compliance amount at the start of contract date, or allow RIHA to deduct prorated payments from my draw requests. (Compliance amount is based upon the labor dollars of the contract award.)

Fill in the blanks/boxes for the Option(s) to be used to meet the Section 3 Obligations for this project.

Option #1

Indicate the type of Section 3 Business your firms is certified for:

Attach copy of RIHA Certification and a copy of Schedule A with Article I completed.

- ☐ Category 1: 51% or more owned by residents of the housing development for which work is performed, or full-time, permanent workforce includes 30% resident employees.
- ☐ Category 2: 51% or more owned by residents of the Authority's housing development(s) other than where work is performed, or full-time, permanent workforce includes 30% resident employees.
- ☐ Category 3: HUD Youthbuild program being carried out in Rock Island.
- ☐ Category 4: Business concern that is 51% owned by a Section 3 resident(s), or whose permanent, full-time workforce includes no less than 30% Section 3 residents, or that subcontracts in excess of 25% of the total amount of subcontracts to Section 3 business concerns on this project.

Option #2

The Contractor has identified _____ Section 3 resident owned business(es), or _____ business(es) which employ 30% or more Section 3 residents to comply with _____ % of its Section 3 obligations covered under Contract#_____. Attach a copy of Schedule A with Article II completed.

Option #3

The Contractor hereby agrees to comply with all the provisions of Section 3 as set forth in 24 CFR 135.1 et seq. and the Section 3 Plan for the Rock Island Housing Authority (RIHA). The Contractor hereby submits Schedule A of the Section 3 Opportunities Plan to identify employment opportunities for the public housing residents and low and very low-income area residents, during the term of the contract between the Contractor and RIHA. The Contractor affirms that the jobs identified shall be for meaningful employment that may or may not be related to the scope of services covered under Contract #_____. The Contractor has committed to employ the following in order to comply with _____ % of its Section 3 obligations. Attach a copy of Schedule A with Article I completed.

Option #4

The Contractor hereby acknowledges that it has a training program in place and will train _____ residents in order to comply with _____ % of its Section 3 obligations. Attached to this document should be a written description on company letterhead of the training program and an explanation of the method used to determine the value of this training.

Option #5

The Contractor hereby agrees to contribute \$_____ to the RIHA Training/Educational Fund to comply with _____ % of its Section 3 obligations.

The failure of the contractor to comply with the above-approved plan shall be a material breach of the contract.

Contractor's Signature: _____

Contractor's Name: _____

Title: _____

Date: _____

Schedule A – Section 3 Utilization Plan

Name of Prime Contractor: _____

Address: _____

Title of Project: _____

Project #: _____

The Contractor hereby agrees to comply with all the provisions of Section 3 as set forth in 24 CFR 135.38 implementing Section 3 requirements. The contractor hereby submits this Schedule A as a component of its Section 3 Opportunities Plan.

Article I (To be completed if using Option #1, #2 or #3)

The Contractor shall provide a status report identifying its progress in meeting the Section 3 goals established in this Section A on a quarterly basis throughout the contract period. The quarterly status report shall be submitted no later than 10 days after the end of each calendar quarter of the contract (e.g., April 10 for calendar quarter January 1 to March 31). The status report shall be in at least the same level of detail as the approved Schedule A. For any goal not met, the report shall identify any other economic opportunities, which the contractor has provided, or intend to provide to RIHA and neighborhood residents.

The failure of the Contractor to comply with the approved plan shall be a material breach of the contract.

Each Bidder/Proposer for a construction or labor related contract must complete this Schedule A and submit all relevant information required herein. A prime contractor may satisfy the RIHA Resident Hiring Requirements through its' subcontractors. Please complete the Labor Survey Table as follows:

- 1) Indicate each category of employment for all phases of this contract;
- 2) The number of positions which will be needed in each category;
- 3) Total hours for each category expected throughout the project;
- 4) How many of those positions are currently filled:
 - (a) The number of persons currently on the payroll;
 - (b) The number filled by RIHA residents;
- 5) Indicate your goal for the number of positions you intend to fill with:
 - (a) RIHA residents
 - (b) Low and Very low income area residents.

NOTE: The minimum of trainees is that which can reasonably be utilized in each occupation, and no less than the number established by the U.S. Secretary of Labor for construction and non-construction labor related occupations. The contractor shall fill all vacant positions with low-income persons (earning less than 80% of the median income in Rock Island and these positions shall not be filled immediately prior to undertaking work in order to circumvent regulations as set forth at 24 C.F.R. Part 135 et seq: as amended.

Contractor Signature

Name

Title

Date

SCHEDULE A – LABOR SURVEY TABLE

Rock Island Housing Authority

SECTION 3 OPPORTUNITY PLAN

[illegible]

Grievance Procedures

Below are approved changes to the RIHA Admissions & Continued Occupancy Policy, the RIHA Administrative Plan for Section 8 and RIHA's Barred Policy as they relate to Grievances.

ADMISSIONS & CONTINUED OCCUPANCY POLICY

Scheduling of Hearings

A request for an informal hearing, settlement or formal hearing must be made in writing and delivered to RIHA either in person or by first class mail, by the close of the business day, no later than 7 business days from the date of RIHA's notification of adverse action.

Except as provided in Section 3-III.F, RIHA will schedule and send written notice of the appointment within 15 business days of the family's request.

If the family is unable to attend a scheduled informal hearings, settlements or formal hearings, the family should contact RIHA in advance of the informal hearing, settlement or formal hearing to schedule a new appointment. Upon request, RIHA will reschedule the appointment a maximum of one time. The second appointment letter will state that failure to appear for the informal hearing, settlement or formal hearing will be interpreted to mean that the family waives its right to an informal hearing. For families who fail to attend two scheduled informal hearings, settlements or formal hearings, the person conducting the informal hearing, settlement or formal hearing and making the final decision will notify the applicant that original action taken by RIHA will be upheld. The letter will also notify the applicant or resident of any further rights they may have under the grievance policy. RIHA will consider requests for reasonable accommodation and will consider other relevant circumstance in rescheduling informal hearing appointments.

Hearing Decisions

RIHA will notify the applicant of the final decision, including a statement explaining the reason(s) for the decision. The notice will be mailed, with return receipt requested, within 7 business days of the informal hearing to the applicant and his or her representative, if any. Under certain extenuating circumstances – such as the applicant or resident is a victim of domestic violence, dating violence or stalking – RIHA may extend the time frame for a final decision as appropriate on a case-by-case basis.

Denial Hearing Decisions

If the informal hearing decision overturns the denial, processing for admission will resume.

If the informal hearing decision upholds the denial, the family will be eligible to reapply for housing 6 months from the date of the informal hearing decision.

If the family fails to appear for their informal hearing, the denial of admission will stand and the family will be so notified.

ADMINISTRATIVE PLAN FOR SECTION 8

Scheduling of Informal Reviews and Hearings

When an informal hearing is required, RIHA must proceed with the hearing in a reasonably expeditious manner upon the request of the family.

If the family is unable to attend a scheduled informal hearing or review, the family should contact RIHA in advance of the informal hearing, settlement or formal hearing to schedule a new appointment. Upon request, RIHA will reschedule the appointment a maximum of one time. The second appointment letter will state that failure to appear for the informal hearing, settlement or formal hearing will be interpreted to mean that the family waives its right to an informal hearing. For families who fail to attend two scheduled informal hearings, settlements or formal hearings, the person conducting the informal hearing, settlement or formal hearing and making the final decision will notify the applicant that original action taken by RIHA will be upheld. The letter will also notify the applicant or resident of any further rights they may have under the grievance policy. RIHA will consider requests for reasonable accommodation and will consider other relevant circumstance in rescheduling informal hearing appointments.

Decisions

RIHA will notify the applicant of the final decision, including a statement explaining the reason(s) for the decision. The notice will be mailed, with return receipt requested, within 7 business days of the informal hearing to the applicant and his or her representative, if any. Under certain extenuating circumstances – such as the applicant or resident is a victim of domestic violence, dating violence or stalking – RIHA may extend the time frame for a final decision as appropriate on a case-by-case basis.

BARRED POLICY

Grievance Procedure for Barred Individuals

- During the period of any appeal process, the barred individual shall not enter upon any RIHA property. Should they do so, they will forfeit all rights under the appeal process for six (6) months.
- In the event of an unfavorable ruling, the barred individual shall remain barred from RIHA property but may file a written request for appeal six months following the date of the unfavorable ruling.

Grievance Procedure for Barred Individuals - 6-Month Appeal

- An appeal may be made at any time after the initial six-month bar period and no sooner than every 6-month period from the date of the latest 6-month appeal.
- If the barred individual participated in any of the actions in Section IV, Reason for Barring, during the 6-month probationary period, he or she will be immediately barred from RIHA property and will not be eligible for an appeal of the actions for six (6) months from the date of the most recent notification of barring.

Grievance Procedures for Barred Individuals – Hardship Appeal

- Any violation of this section may result in the arrest of the barred individual and denial of future visitor privileges for a period of six (6) months.

Designation of Housing for Elderly and Disabled Families

Below are approved changes to RIHA policies as they relate to Designation of Housing for Elderly and Disabled Families.

Designation of Housing initiatives under consideration for action during Fiscal Year beginning 10/1/2011 are as follows:

Spencer Towers (IL018006), a 199-unit high rise building, whose population is currently mixed elderly and disabled but not HUD officially designated, will be a general occupancy development. Based on information provided by HUD Field Office staff, since the original elderly/disabled designation was not an official HUD designation, no application has been made to the Special Applications Center for the removal of that designation..

Community Service and Self-Sufficiency

Below are approved changes to the RIHA Admissions & Continued Occupancy Policy as they relate to Community Service and Self-Sufficiency.

Community Service [24 CFR 960.601(b), Notice PIH 2009-48]

Community service is the performance of voluntary work or duties that are a public benefit, and that serve to improve the quality of life, enhance resident self-sufficiency, or increase resident self responsibility in the community. Community service is not employment and may not include political activities.

PHAs may form their own policy in regards to accepting community services at profit-motivated entities, acceptance of volunteer work performed at homes or offices of general private citizens and court-ordered or probation-based work.

RIHA will accept community services at profit-motivated entities, volunteer work performed at homes or offices of general private citizens and court-ordered or probation-based work as eligible community service activities.

Notification Requirements [24 CFR 960.605(c)(2), Notice PIH 2009-48]

RIHA must give each family a written description of the community service requirement, the process for claiming status as an exempt person and the process for RIHA verification of exempt status. RIHA must also notify the family of its determination identifying the family members who are subject to the service requirement and the family members who are exempt. In addition, the family must sign a certification, Attachment A of Notice PIH 2009-48, that they have received and read the policy and understand that if they are not exempt, failure to comply with the requirement will result in nonrenewal of their lease.

11-I.C. DETERMINATION OF EXEMPTION STATUS AND COMPLIANCE [24 CFR 960.605(c)(3)]

Where the lease term does not coincide with the effective date of the annual reexamination, RIHA will change the effective date of the annual reexamination to coincide with the lease term. In making this change, RIHA will ensure that the annual reexamination is conducted within 12 months of the last annual reexamination.

Documentation and Verification of Compliance

At each regularly scheduled reexamination, each nonexempt family member presents a signed standardized certification form developed by RIHA of community service and self-sufficiency activities performed over the last 12 months [Notice PIH 2009-48].

If anyone in the family is subject to the community service requirement, RIHA will provide the family with community service documentation forms at admission, at lease renewal, when a family member becomes subject to the community service requirement during the lease term or upon request by the family.

Enforcement Documentation [Notice PIH 2009-48]

PHAs are required to initiate due process (see 24 CFR 966.53(c)) against households failing to comply with lease requirements including the community service and self-sufficiency requirement.

When initiating due process, RIHA must take the following procedural safeguards:

- Adequate notice to the tenant of the grounds for terminating the tenancy and for eviction
- Right of the tenant to be represented by counsel
- Opportunity for the tenant to refute the evidence presented by RIHA, including the right to confront and cross-examine witnesses and present any affirmative legal or equitable defense which the tenant may have
- A decision on merits

PHA Implementation of Community Service

RIHA will notify its insurance company if residents will be performing community service at RIHA. In addition, RIHA will ensure that the conditions under which the work is to be performed are not hazardous.

If a disabled resident certifies that she or he is able to perform community service, RIHA will ensure that requests for reasonable accommodation are handled in accordance with the policies in Chapter 2.

PHA Program Design

RIHA will make every effort to identify volunteer opportunities throughout the community, especially those in proximity to public housing developments. To the greatest extent possible, RIHA will provide names and contacts at agencies that can provide opportunities for residents, including persons with disabilities, to fulfill their community service obligations.

Any written agreements or partnerships with contractors and/or qualified organizations, including resident organizations, are described in RIHA Plan.

If RIHA has a ROSS program, a ROSS Service Coordinator or an FSS program, RIHA will coordinate individual training and service plans (ITSPs) with the community service requirement. Regular meetings with RIHA coordinators will satisfy community service activities, and RIHA coordinators will verify community service hours within individual monthly logs.

Asset Management

Below are approved changes to RIHA's policies as they relate to Asset Management.

In 2003, RIHA contracted with Goodwin & Associates to assist the agency in completing an Asset Management Plan and conduct the supporting Physical Needs Assessment and Market Study. In formulating the Plan, the team sought input from all constituencies, meeting with the residents, commissioners, City staff, community leaders, RIHA staff, and citizens of Rock Island. In keeping with the input provided by these groups and the analysis of both the physical maintenance needs of the properties and the housing needs of current and future residents, an innovative approach allowing all participants and stakeholders to benefit was developed.

As part of the Asset Management Plan each property was evaluated based on its present and future value for current and future residents, the City, the community and RIHA. This Plan recommended options and suggestions to keep and maintain, to keep and upgrade, or to demolish and replace each RIHA property.

Five years following the original asset management assessment, Goodwin & Associates conducted a follow-up assessment in 2008 as well as a new Physical Needs Assessment. This created the updated Asset Management Plan.

RIHA will seek funding from various sources to achieve the goals outlined in the updated Asset Management Plan. Funding will allow RIHA to develop a continuum of housing designed to serve elderly persons, persons with disabilities and families. It will also allow the agency to offer current and future residents new, low-density rental units and single-family for-sale homes with today's amenities. Each of the new developments will be mixed-income including some market-rate.

Spencer Towers

Built in 1972, Spencer Towers is a nine-floor, 199-unit, low-income high-rise in downtown Rock Island. Spencer is currently home to a mixed population comprised of both elderly and non-elderly disabled individuals.

Spencer Towers is the only high-rise apartment building in the City that is across the street from the Mississippi River. Spencer is a signature building with phenomenal potential. It boasts spectacular views of the river, is two blocks from the City's arts and entertainment hub, multiple restaurants and galleries and is surrounded by well-kept grounds with multiple mature trees.

Based on the 2003 Asset Management Plan, Spencer Towers should be kept in the RIHA inventory and developed into a mixed-income development. The redevelopment of Spencer Towers is included in the City of Rock Island Consolidated Plan and RiverVision, a joint initiative between the cities of Rock Island and Davenport, Iowa.

2008 Physical Needs Assessment: The building is structurally sound, is in an excellent location and could be reconfigured from a one-bedroom elderly and disabled public housing property to a mixed-income rental development.

Asset Management Plan Implementation: Spencer Towers will be redeveloped and reconfigured into a mixed-income development designed to accommodate active adults.

Lincoln Homes

Lincoln Homes is located in what is considered to be the “community heart” of Old Chicago near Martin Luther King Community Center, Second Baptist Church and Douglas Park Place. It was constructed in 1953 on 2.29 acres of land and includes 45 dwelling units in seven residential buildings. According to the 2003 Asset Management Plan, the property should be maintained, monitored and reevaluated in 5 – 10 years to determine its long-term value and sustainability as a viable property. The renovation of Lincoln Homes is part of the City of Rock Island NEW Old Chicago Redevelopment Plan.

2008 Physical Needs Assessment: Lincoln Homes is over 50 years old, is obsolete, has sinking first level concrete slab floors and has extensive termite damage in the walls and second level floors. One entire building is now uninhabitable because termite damage has made it unsafe for occupancy. Without immediate and extensive wall and floor repair and termite treatment, the remaining buildings will quickly become unsafe for occupancy. In addition, a recent environmental study indicated that portions of the land on which Lincoln Homes stands includes a ponding area where storm water runoff collects which may account for the sinking concrete floors.

HUD does not consider the renovation of public housing properties viable when costs exceed 90% of Total Development Cost (TDC) for new construction. The 2008 physical needs assessment revealed the total renovation costs for Lincoln Homes to be 173% of TDC for new construction. Therefore renovating the property is not feasible, and it should be demolished and replaced.

Asset Management Plan Implementation: Lincoln Homes will be replaced in phases, and new housing will be developed before demolition begins. As buildings are demolished, RIHA will develop new affordable mixed-income housing. Construction could begin in the unimproved playground areas to help facilitate the phased demolition and replacement of units. Additional in-fill lots and nearby vacant land will also be considered for the development of additional affordable housing which will also facilitate a phased approach to the demolition and replacement of existing units. RIHA may seek to dispose of this property to its not-for-profit affiliate and utilize tax credits or other funding to replace the units.

Because of its location and close proximity to the Martin Luther King Community Center, Second Baptist Church and Douglas Park Place, the redevelopment of Lincoln Homes will have a long-term positive effect on the area ultimately creating an entirely new community.

Manor Homes

Manor Homes was constructed in 1952 on 4.34 acres of land and includes 102 dwelling units. Manor Homes is similar to Lincoln Homes in that it is over 50 years old, is obsolete, has sinking first level concrete slab floors and has extensive termite damage in the walls and second level

floors. The damage to Manor Homes is not as advanced as Lincoln Homes. However, if not redeveloped, Manor Homes will continue to decay resulting in the units becoming uninhabitable.

2008 Physical Needs Assessment: HUD does not consider the renovation of public housing properties viable when costs exceed 90% of Total Development Cost (TDC) for new construction. The 2008 physical needs assessment revealed the total renovation costs for Manor Homes to be 119.25% of TDC for new construction. Therefore renovating the property is not feasible and it should be demolished and replaced.

Asset Management Plan Implementation: Manor Homes will be replaced in phases and new housing will be developed before demolition begins. As buildings are demolished, RIHA will develop new affordable mixed-income housing. Construction will begin in the playground area to better facilitate the phased demolition and replacement of existing units. RIHA may seek to dispose of this property to its not-for-profit affiliate and utilize tax credits or other funding to replace the units.

Former Valley Homes Site

Valley Homes was completed in the early 1970's with 102 original units. Three buildings totaling 45 units were demolished in 1994 and 1997 to reduce density. The three remaining buildings comprised of 57 units were recommended for demolition as part of the 2003 Asset Management Plan.

The first Valley Homes resident relocated on November 8, 2004. By July 31, 2005, the severely distressed public housing property was officially vacated and awaiting demolition – a full five months ahead of the original date of December 31, 2005. Valley Homes was demolished in October 2005.

Of the 53 Valley Homes resident families, four became first-time homeowners, purchasing homes in Rock Island. Twelve relocated outside of Rock Island to areas including Chicago, IL, Davenport, IA, and St Louis, MO. Four families relocated to other RIHA properties, and one was over Section 8 income guidelines and rented a market-rate apartment without assistance. The remaining 32 families rented within the City of Rock Island. Of these 32, nine have moved into apartments while 23 have rented single-family homes in multiple neighborhoods.

The 2003 Asset Management Plan recommended that the vacant land be redeveloped to include up to 40 mixed-income homes. According to the recommended Plan, the number of homes would be driven by design (townhouse, duplex, condo or single-family) and funding sources.

The now vacant Valley Homes site includes 8.5-acres, 6 acres of which is buildable. The site is bounded by residential buildings to the north and south and sandwiched between hilly, wooded terrain to the east and west. The site is generally rectangular in shape and is rolling, although the terrain rises toward the south with a retaining wall and wooded area. A retaining wall is also located along the eastern border. Because of the surrounding hilly topography, the site sits in a “bowl”, though drainage is adequate toward the northwest. Access to the site is available from 25th Street. While the obsolete public housing structures have been demolished and the site has

been cleared, significant serious infrastructure issues remain making the property costly to redevelop.

Over the past three years, RIHA has applied for two federal HOPE VI grants and one Tax Credit opportunity through the Illinois Housing Development Authority (IHDA) for the redevelopment of the property. To date, RIHA has been unable to secure the funding required to both correct the challenges associated with the infrastructure and build the recommended replacement housing.

Asset Management Plan Implementation: Because of location, the best use of the former Valley Homes site is the construction of mixed-income, for sale homes. The homes will include townhouses and single-family construction. Given the market demand, up to 40 mixed-income units could be constructed.

Special Needs Complex

Cascade Garden, the 70-unit Special Needs complex, is designated for individuals and families with a preference for households with at least one member with a disability. The units will be affordable, offer independence and accessibility and provide the supportive services necessary for resident success.

The facility is currently under construction with initial occupancy expected to commence in July 2011. The family development includes 8 two-bedroom units, 46 one-bedroom units and 14 three-bedroom units. Supportive Services will be offered and made available by Robert Young Center staff. The apartments will be designed and constructed to meet special needs including wheelchair access, wider doorways, ramps, lower cabinets and roll-in showers. The facility will also accommodate access for much needed services such as healthcare providers, community amenities and supermarkets – each of which is critical to ensuring the independent life style that the campus will offer.

The goals of the project are to meet the needs of persons with disabilities by removing the barriers to community living, providing quality safe, affordable housing and providing the case-management, support-services and activities required for long-term success.

Cascade Garden was financed through an OFFFP/Mixed Finance transaction whereby RIHA would leverage about \$2.6M (\$2M from AMP 18-4 Excess Cash and \$.6M of RHF funds) to acquire 33 ACC units out of the total of 70 units. As discussed in the Project-Based Voucher component of HUD Form-50075 (Agency Plan Template), the development may also include certain project-based (HCV) units. RIHA has procured a developer for this special needs facility. This transaction to closed in early 2010; HUD approved the final evidentiary documents in April 2011. The total estimated cost of the project is \$13,000,000. Cascade Garden's main office is located at 655 Cascade Garden Drive, Rock Island, Illinois.

In-Fill Housing

Providing families and individuals more choices and more control over where they live increases their level of self-sufficiency allowing them to effectively climb the housing ladder. In-fill housing is an important aspect of this process and is a key element in stabilizing neighborhoods

that are in the process of turning around. In-fill housing provides quality housing options for families seeking to return to the neighborhoods in which they were raised. The introduction of in-fill housing into these neighborhoods creates new homes reducing the number of vacant lots and obsolete housing. It instills growth, enhances economic development, creates pride and stimulates economic self-sufficiency among current and future residents.

Asset Management Plan Implementation: The City of Rock Island has provided RIHA with multiple lots to develop new affordable mixed-income housing. The new housing constructed on these lots will be used to facilitate the phased demolition and replacement of other RIHA redevelopment activities.

Violence Against Women Reauthorization Act of 2005 (VAWA)

Rock Island Housing Authority has adopted extensive policies regarding VAWA for admissions and participation in both its low-income public housing and Section 8 Housing Choice Voucher programs.

Further, RIHA has established waiting list preference points for victims of domestic violence, dating violence, sexual assault or stalking for persons applying for housing. Victims can either provide documentation such as police reports and restraining orders or correspondence from agencies assisting victims (including but not limited to shelters). Victims can also self-certify using the form HUD-91066.

For residents, RIHA has partnered with Healing Waters Empowerment Project. Healing Waters' mission is to address and prevent domestic violence and all violence by identifying its causes and effects and implementing and supporting programs, activities and events that will enhance the quality of life for individuals and families. Healing Waters provides workshop sessions and support groups as well as individual mentoring.

Currently, Healing Waters operates weekly at one public housing site and is looking to expand to a second site in the next six months and a third within the next 18 months. RIHA also works closely with Family Resources and Christian Family Care Center, local advocacy agencies, to provide referrals for services for residents and participants who request assistance.

RIHA also contracts with the Rock Island Police Department to have a dedicated Liaison Police Officer who works mainly at RIHA properties. This officer is able to assist victims with any criminal charges they pursue as well as by linking them with resources.

Conforming to the Requirements of the Carbon Monoxide Alarm Detector Act

RIHA has been fully compliant with the requirements of the Carbon Monoxide Alarm Detector Act for more than two and one half years. All 487 public housing units have carbon monoxide alarm detectors installed within 15 feet of all sleeping areas and on each floor of the units. The Section 8 Manager requires all units occupied through the Housing Choice Voucher Program to conform to the Carbon Monoxide Alarm Detector Act during Housing Quality Standards inspections. Any units not conforming to the act fail their HQS inspection and subsidy is abated until the unit fully complies.

**ROCK ISLAND HOUSING AUTHORITY
RESIDENT ADVISORY BOARD
COMMENTS AND RECOMMENDATIONS
June 3, 2011**

My name is Michelle Gugelmeyer and I am the spokesperson for the Resident Advisory Board. Other board members include: Edna Watson who also represents the Housing Choice Voucher Program along with me; Robert Hedger and Bonita Hickman , represent Spencer Towers, Jerry Cacari and Glenda Blowers, representatives of Sunset Heights; Bo Jones and Wilma Howard, representing Manor Homes and LaTonya Dale, who represents Lincoln Homes.

Each year the RAB is asked to review, solicit resident comments, and make recommendations to the Housing Authority Staff and Board of Commissioners regarding the Agency Plan.

The board met three times and attended individual tenant meetings to solicit comments regarding changes in the plan. We did not receive comments from the residents at the public hearing nor at tenant meetings regarding the proposed changes. All residents were in favor of the proposed changes.

The Resident Advisory Board endorses and recommends that the Rock Island Housing Authority Board of Commissioners approve the proposed changes to the 2011 Agency Plan.

Sincerely,



Michelle Gugelmeyer, RAB Spokesperson



Rock Island Housing Authority

227 21st Street, Rock Island, IL 61201

Telephone: (309) 788-0825

Facsimile: (309) 788-8610

AFFIRMATIVELY FURTHERING FAIR HOUSING

Under Section 808(e)(5) of the Fair Housing Act, Rock Island Housing Authority will take affirmative steps to 1) overcome the effects of impediments to fair housing choice that were identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice, 2) remedy discrimination in housing and 3) promote fair housing rights and fair housing choice are offered herein.

Affirmatively Furthering Fair Housing:

Impediments to fair housing choice were identified in the City of Rock Island consolidated Plan FY2008-2013 in Table 19, Barriers to Affordable Housing, pages 63-67, along with current and future planned actions.

Rock Island Housing Authority (RIHA) additionally uses policies from its Agency Plan, effective October 1 of the current fiscal year, and currently enforced. These policies include:

- Homeownership Activities (Deconcentration Policy)
- Civil Rights Certification

In addition to these policies, RIHA also furthers fair housing by advertising widely in its housing developments and the community for positions available with the Housing Authority, marketing all of its programs to any and all eligible persons, including those with disabilities and limited English proficiency, providing accessible facilities and communications for persons with disabilities, providing referrals to fair housing agencies, educating people on how to file a fair housing complaint, providing the toll-free phone number for the Housing Discrimination Hotline (800-669-9777) and recruiting landlords and service providers in areas that expand RIHA's goal of providing housing of choice rather than housing of last resort.

Attachments that follow will illustrate RIHA activities that meet and/or exceed current or future actions stated in the City of Rock Island Consolidated Plan as indicated on Table 19.

Attachments include:

- Homeownership Activities (Deconcentration Policy)
- Civil Rights Certification
- RIHA Involvement from Table 19 of the Consolidated Plan
- Other Steps Taken by RIHA

HOMEOWNERSHIP ACTIVITIES

The Quality Housing and Work Responsibility Act of 1998 (QWHRA) allows an Authority to sell public housing units to residents. Rock Island Housing Authority has developed a homeownership program under Section 32 of the Housing Act of 1937 or a similar program as allowed by QWHRA.

RIHA's Homeownership Program

When surveyed, over 70% of RIHA public housing residents and Section 8 participants indicated a desire to own their own homes. Responses also illustrated that residents were cognizant of the barriers associated with homeownership, including bad credit, financial illiteracy, budgeting and the lack of funds for a down payment. Survey results also indicate that more than 20% of RIHA residents and participants earn \$20,000 or more per year, making them eligible for the RIHA Homeownership Program and related Community Supportive Services.

RIHA's decision to pursue homeownership options for its residents and participants is supported by RIHA residents and participants, the community, the City and state governments. It is actively endorsed by the public and private partners and partnerships that have come together for this purpose and through the commitments of their time, talent and resources. Homeownership supports HUD's strategic goals and meets President George W. Bush's challenge to close the affordable housing gap, increasing homeownership for low-income families.

RIHA's major priority is to assist public housing residents and Section 8 participants in their efforts to become financially self-sufficient and less dependent upon direct government housing assistance. The RIHA Homeownership Program will enable residents and participants, including low- and moderate-income persons, persons with disabilities, the elderly and minorities to transition to the American Dream of homeownership with a strong emphasis on supportive services focused on ensuring the long-term success of each participant. In the past three years, 14 RIHA residents and two Section 8 participants have purchased their own homes.

CIVIL RIGHTS CERTIFICATION

This Housing Authority complies with all program requirements established by the U.S. Department of Housing and Urban Development that implement the civil rights laws listed below:

- Title VI of the Civil Rights Act of 1964, which prohibits discrimination based on race, color, or national origin in programs receiving Federal financial assistance;
- Title VIII of the Civil Rights Act of 1968, which prohibits discrimination based on race, color, religion, national origin, or sex in the sale, rental, or advertising of housing;
- Section 504 of the Rehabilitation Act of 1973, which prohibits discrimination based on handicap in programs receiving Federal financial assistance;
- The Age Discrimination Act of 1975, which prohibits discrimination based on age in programs receiving Federal financial assistance; and
- Executive Order 11063, which requires HUD to take whatever action is necessary to prohibit discrimination based on race, color, national origin, religion (creed), or sex in housing receiving Federal financial assistance.

All of this Housing Authority's occupancy policies, including the Administrative Plan, the Admissions and Continued Occupancy Policy (ACOP), the Dwelling Lease and the Grievance Procedure all comply with HUD requirements and the legislative intent associated with these laws.

**EXCERPTS FROM TABLE 19 OF THE CONSOLIDATED PLAN
OF THE CITY OF ROCK ISLAND**

Rock Island Housing Authority activities in conjunction with the City Consolidated Plan:

Barrier/Impediment	RIHA Current and/or Future Activities
Predatory lending practices with limited local enforcement of existing laws and resources.	During 2006, QC DollarWise was spearheaded to promote financial education within the Quad Cities. RIHA engages this group to educate public housing residents and Section 8 participants.
Income disparities among racial groups.	RIHA is one of several housing and social services agencies offering access to credit counseling classes, employment training and educational advancement programs.
Characteristics of denying or increasing the cost of banking services to residents of certain areas.	RIHA is part of the City's New Old Chicago Initiative – undertaken in 2006 – to enhance private investment and revitalize the area.
Limited availability of affordable housing.	RIHA has preliminary approval from the City to build a 70-unit development for families that include at least one person with a mental disability.
Limited accessible housing units.	In accordance with HUD mandates, RIHA either provides or provides for accessible housing for physically, visually and hearing impaired persons participating in its housing programs.
Lack of developable land.	Infill housing is a priority in the City of Rock Island. In the past four years, RIHA has constructed and sold seven new infill homes.
Regulatory issues such as zoning and historic compatibility compliance.	RIHA has received approval for its 70-unit development. RIHA has also submitted an application to the zoning commission for approval to create a single-family housing development of no less than 30 homes.

OTHER STEPS TAKEN BY RIHA

RIHA also strives to further fair housing by:

- Capturing and maintaining socio-economic and demographic data during public housing and Section 8 application process and at program admission;
- Following Admission and Continued Occupancy policies (ACOP) and Administrative Plan policies by using the fair housing standards outlined in CFR and filling vacancies as they arise;
- Providing a process for Reasonable Accommodation for Persons with Disabilities in both the Admission and Continued Occupancy policies (ACOP) and Administrative Plan;
- Providing housing to World Relief refugees through partnership with local organizations.

All applicant and resident data kept by RIHA regarding furthering fair housing shall be maintained using the electronic records database HMS for Windows by HABINC. Documentation of the steps taken by RIHA to further fair housing and their impacts shall be kept in tenant and applicant files where appropriate, in property binders maintained by Property Managers or the Section 8 Manager where appropriate and applicable and/or in annual reports to the Board of Commissioners where appropriate.

To further meet the needs of families who qualify as protected classes as well as those who do not, RIHA may operate a Family Unification Program and/or provide Rental Assistance for Non-Elderly Persons with Disabilities should funding become available from HUD. As such, in specific response to FUP and to Rental Assistance for Non-Elderly Persons with Disabilities, RIHA would take reasonable steps to affirmatively further fair housing for protected classes in regards to these programs that include, but are not limited to:

- Identifying and ensuring certification of FUP-eligible families that may be on RIHA's waiting list and ensuring that the family maintains its original position on the waiting list after certification;
- Appropriately placing all FUP-eligible families referred from the Illinois Department of Children and Family Services (IDCFS) on the HCV waiting list in order of first come, first served;
- Providing services for persons with disabilities discussed in the MOU submitted with the application for FUP funding. IDCFS will provide all services to persons with disabilities discussed in the MOU;
- Examining these programs and identifying any impediments to fair housing choice within them, addressing the impediments in a reasonable fashion in view of available resources;
- Working with the City of Rock Island to implement any of the City's initiatives to affirmatively further fair housing that require RIHA's involvement;

- Maintaining records reflecting these analyses and actions;
- Helping Rental Assistance for Non-Elderly Persons with Disabilities program applicants and participants, where requested by an individual, gain access to supportive services available within the community, but not requiring eligible applicants or participants to accept such supportive services as a condition of continued participation in the program;
- Identifying public and private funding sources to assist participants with disabilities in the Rental Assistance for Non-Elderly Persons with Disabilities program in covering the costs of structural alterations and other accessibility features that are needed as accommodations for their disabilities;
- Not denying other housing opportunities or otherwise restricting access to RIHA programs to eligible applicants who choose not to participate in the Rental Assistance for Non-Elderly Persons with Disabilities program;
- Approving higher rents to owners that provide accessible units with structural modifications for persons with disabilities in accordance with rent reasonableness requirements for applicants and participants of both programs;
- Providing technical assistance, through referrals to local fair housing and equal opportunity offices, to owners interested in making reasonable accommodations or units accessible to persons with disabilities for applicants and participants of both programs;
- Providing housing search assistance in accordance with 24 CFR Section 8.28(a)(3) for applicants and participants of both programs; and

Informing applicants and/or participants of both programs on how to file a fair housing complaint including the provision of the toll free number for the Housing Discrimination Hotline (800-669-9777) and the Federal Information Relay Service (800-887-8339) for persons with hearing or speech impairments.

**Annual Statement/Evaluation Report
Capital Fund Program, Capital Fund Replacement Housing Factor and
Capital Fund Financing Program**

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 04/30/2011

Part I: Summary					
PIA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850111 Replacement Housing Factor Grant No: Date of CFFP:		FFY of Grant: 2011 FFY of Grant Approval: 2011	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: 1) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost 1	
		Original	Revised 2	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 20) 3				
3	1408 Management Improvements	46,233	-	-	-
4	1410 Administration (may not exceed 10% of line 20)	84,353	-	-	-
5	1411 Audit	-			
6	1415 Liquidated Damages				
7	1430 Fees and Costs	40,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	36,000	-	-	-
10	1460 Dwelling Structures	556,947	-	-	-
11	1465.1 Dwelling Equipment—Nonexpendable	40,000	-	-	-
12	1470 Non-dwelling Structures	-	-	-	-
13	1475 Non-dwelling Equipment	40,000	-	-	-
14	1485 Demolition	-	-	-	-
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs	-	-	-	-
17	1499 Development Activities 4				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)	843,533	-	-	-
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director <i>Sharon Anderson</i>		Date 7/14/11		Signature of Public Housing Director Date	

- 1 To be completed for the Performance and Evaluation Report.
 2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
 3 PIAs with under 250 units in management may use 100% of CFP Grants for operations.
 4 RHF funds shall be included here.

Annual Statement/Evaluation Report
Capital Fund Program, Capital Fund Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 04/30/2011

Part II: Supporting Pages								
PHA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850111 Replacement Housing Factor Grant No:				OFFP/CFFP (Yes/ No): No Federal FFY of Grant: 2011		
Development Number Name/PHA- Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
18-2 Rock Island Manor	General Site Improvement	1450	LS	5,000				
	Sidewalk Repair	1450	LS	-				
	Site Drainage & Irrigation Repair	1450	LS	-				
	Parking Lot Improvements	1450	LS	-				
	Play Ground Improvements	1450	LS	5,000				
	Subtotal - Site Improvements			10,000	-	-	-	
	Roofing & Gutter Replacement	1460	LS	127,947				
	Bldg Exterior Upgrade/Replacement	1460	LS					
	Window-Door Repair/Replacement	1460	LS	15,000				
	Flooring/Wall Covering Replacement	1460	LS	7,500				
	Kitchen Modernization	1460	LS					
	Bath Modernization	1460	LS					
	Unit Modernization	1460	LS	155,000				
	Mech. System Upgrade/Replacement	1460	LS					
	Elect. System Upgrade/Replacement	1460	LS					
	Subtotal - Dwelling Structures			305,447	-	-	-	-
	Appliances	1465	LS	5,000				
	Water Heaters	1465	LS	2,500				
	Furnances	1465	LS	2,500				
	Subtotal - Dwelling Equipment			10,000	-	-	-	-
	Common Area Upgrades	1470	LS					
	Office Modernization	1470	LS					
	Subtotal - Non-Dwelling Structures			-	-	-	-	-
	Elevator Repair/Moderization	1475	LS					
		1475	LS					
	Subtotal - Non-Dwelling Equipment			-	-	-	-	-
	Demolition	1485	LS					
	Relocation	1495.1	LS					

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
² To be completed for the Performance and Evaluation Report.

Annual Statement/Evaluation Report

**Capital Fund Program, Capital Fund Replacement Housing Factor and
Capital Fund Financing Program**

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
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Expires 04/30/2011

Part II: Supporting Pages

PHA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850111 Replacement Housing Factor Grant No:		OFFP/CFFP (Yes/ No): No		Federal FFY of Grant: 2011		
Development Number Name/PHA- Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised 1	Funds Obligated 2	Funds Expended 2	
18-3 Lincoln Homes	General Site Improvement	1450	LS	5,000				
	Sidewalk Repair	1450	LS					
	Site Drainage & Irrigation Repair	1450	LS					
	Parking Lot Improvements	1450	LS					
	Play Ground Improvements	1450	LS	1,000				
	Subtotal - Site Improvements			6,000	-	-	-	
	Roofing & Gutter Replacement	1460	LS					
	Bldg Exterior Upgrade/Replacement	1460	LS					
	Window-Door Repair/Replacement	1460	LS					
	Flooring/Wall Covering Replacement	1460	LS					
	Kitchen Modernization	1460	LS					
	Bath Modernization	1460	LS					
	Unit Modernization	1460	LS	14,000				
	Mech. System Upgrade/Replacement	1460	LS					
	Elect. System Upgrade/Replacement	1460	LS					
	Subtotal - Dwelling Structures			14,000	-	-	-	
	Appliances	1465	LS	5,000				
	Water Heaters	1465	LS	2,500				
	Furnances	1465	LS	2,500				
	Subtotal - Dwelling Equipment			10,000	-	-	-	
	Common Area Upgrades	1470	LS					
	Office Modernization	1470	LS					
	Subtotal - Non-Dwelling Structures			-	-	-	-	
	Elevator Repair/Moderization	1475	LS					
		1475	LS					
	Subtotal - Non-Dwelling Equipment			-	-	-	-	
	Demolition	1485	LS					
	Relocation	1495.1	LS					

1 To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

2 To be completed for the Performance and Evaluation Report.

Annual Statement/Evaluation Report

**Capital Fund Program, Capital Fund Replacement Housing Factor and
Capital Fund Financing Program**

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 04/30/2011

Part II: Supporting Pages								
PHA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850111 Replacement Housing Factor Grant No:		OFFP/CFFP (Yes/ No): No		Federal FFY of Grant: 2011		
Development Number Name/PHA- Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
18-4 Sunset Heights	General Site Improvement	1450	LS	15,000				
	Sidewalk Repair	1450	LS					
	Site Drainage & Irrigation Repair	1450	LS					
	Parking Lot Improvements	1450	LS					
	Play Ground Improvements	1450	LS					
	Subtotal - Site Improvements			15,000	-	-	-	
	Roofing & Gutter Replacement	1460	LS					
	Bldg Exterior Upgrade/Replacement	1460	LS					
	Window-Door Repair/Replacement	1460	LS					
	Flooring/Wall Covering Replacement	1460	LS					
	Kitchen Modernization	1460	LS					
	Bath Modernization	1460	LS					
	Unit Modernization	1460	LS	15,000				
	Mech. System Upgrade/Replacement	1460	LS					
	Elect. System Upgrade/Replacement	1460	LS					
	Subtotal - Dwelling Structures			15,000	-	-	-	
	Appliances	1465	LS	10,000				
	Water Heaters	1465	LS					
	Furnances	1465	LS					
	Subtotal - Dwelling Equipment			10,000	-	-	-	
	Common Area Upgrades	1470	LS					
	Office Modernization	1470	LS					
	Subtotal - Non-Dwelling Structures			-	-	-	-	
	Elevator Repair/Moderization	1475	LS	7,500				
		1475	LS					
	Subtotal - Non-Dwelling Equipment			7,500	-	-	-	
	Demolition	1485	LS					
	Relocation	1495.1	LS					

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**Annual Statement/Evaluation Report
Capital Fund Program, Capital Fund Replacement Housing Factor and
Capital Fund Financing Program**

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 04/30/2011

Part II: Supporting Pages

PHA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850111 Replacement Housing Factor Grant No:		OFFP/CFFP (Yes/ No): No		Federal FFY of Grant: 2011		
Development Number Name/PHA- Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
18-6 Spencer Towers	General Site Improvement	1450	LS	5,000				
	Sidewalk Repair	1450	LS					
	Site Drainage & Irrigation Repair	1450	LS					
	Parking Lot Improvements	1450	LS					
	Play Ground Improvements	1450	LS					
	Subtotal - Site Improvements			5,000	-	-	-	
	Roofing & Gutter Replacement	1460	LS					
	Bldg Exterior Upgrade/Replacement	1460	LS					
	Window-Door Repair/Replacement	1460	LS					
	Flooring/Wall Covering Replacement	1460	LS					
	Kitchen Modernization	1460	LS					
	Bath Modernization	1460	LS					
	Unit Modernization	1460	LS	222,500				
	Mech. System Upgrade/Replacement	1460	LS					
	Elect. System Upgrade/Replacement	1460	LS					
	Subtotal - Dwelling Structures			222,500	-	-	-	
	Appliances	1465	LS	10,000				
	Water Heaters	1465	LS					
	Furnances	1465	LS					
	Subtotal - Dwelling Equipment			10,000	-	-	-	
	Common Area Upgrades	1470	LS					
	Office Modernization	1470	LS					
	Subtotal - Non-Dwelling Structures			-	-	-	-	
	Elevator Repair/Moderization	1475	LS	7,500				
		1475	LS					
	Subtotal - Non-Dwelling Equipment			7,500	-	-	-	
	Demolition	1485	LS					
	Relocation	1495.1	LS					

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² To be completed for the Performance and Evaluation Report.

Annual Statement/Evaluation Report

Capital Fund Program, Capital Fund Replacement Housing Factor and Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 04/30/2011

Part II: Supporting Pages								
PIA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850111 Replacement Housing Factor Grant No:		OFFP/CFFP (Yes/ No): No		Federal FFY of Grant: 2011		
Development Number Name/PHA- Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
PHA-Wide	Operations	1406	LS					
	Marketing	1408	LS	5,000				
	Staff Training & Development	1408	LS	20,000				
	Resident Training	1408	LS	5,000				
	Computers & Training	1408	LS	16,233				
	Subtotal - Mgmt Improvements			46,233	-	-	-	
	Salaries & Wages	1410	LS	72,000				
	EBC's	1410	LS	10,800				
	Publications	1410	LS	1,553				
	Legal	1410	LS					
	Subtotal Administrations			84,353	-	-	-	
	Audit	1411	LS	-				
	Fees & Costs	1430	LS	40,000				
	Non-Dwelling Structures	1470	LS					
	Office Equipment	1475	LS	5,000				
	Maintenance Equipment	1475	LS					
	Vehicles	1475	LS					
	Security Equipment	1475	LS	20,000				
	Subtotal - Non-Dwelling Equipment			25,000	-	-	-	

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Annual Statement/Evaluation Report

Capital Fund Program, Capital Fund Replacement Housing Factor and

Capital Fund Financing Program

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

OMB No. 2577-0226

Expires 04/30/2011

Part III: Implementation Schedule for Capital Fund Financing Program

PHA Name:

Housing Authority of the City of Rock Island

Federal FFY of Grant: 2011

1L06S01850111

[illegible]

Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statements/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB Approval No. 2577-0226
Expires 04/30/2011

Part I: Summary

PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois	Grant Type and Number Capital Fund Program Grant No: Replacement Housing factor Grant No: IL06R018502-11 Date of CFFP:	FFY of Grant: 2011 FFY of Grant Approval: 2011
-----------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------

Type of Grant

☒ Original Annual Statement
 ☐ Reserve for Disasters/Emergencies
 ☐ Revised Annual Statement/Revision Number ____
 ☐ Performance and Evaluation Report for Program Year Ending
☐ Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost 1	
		Original	Revised2	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not exceed 20% of line 20)3	0			
3	1408 Management Improvements	0	0	0	0
4	1410 Administration	0	0	0	0
5	1411 Audit	0	0	0	0
6	1415 Liquidated Damages				
7	1430 Fees and Costs	0			
8	1440 Site Acquisition				
9	1450 Site Improvement	0	0	0	0
10	1460 Dwelling Structures	0	0	0	0
11	1465.1 Dwelling Equipment-Nonexpendable	0	0	0	0
12	1470 Nondwelling Structures	0			
13	1475 Nondwelling Equipment	0	0	0	0
14	1485 Demolition	0	0	0	
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs	0	0	0	0
18	1499 Mod Used for Development4	130,023	0	0	0
19	1501 Collateralization or Debt Service	0			
20	Amount of Annual Grant (Sum of Lines 2-19	\$130,023	\$0	\$0	\$0
21	Amount of line 20 Related to LBP Activities	0			
22	Amount of line 20 Related to Section 504 Compliance	0			
23	Amount of line 20 to Security	0			
24	Amount of line 20 Related to Energy Conservation Measures	0			

Signature of Executive Director & Date:

Susan Anderson 7/14/11
Susan Anderson, Executive Director

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

- 1 To be completed for the Performance and Evaluation Report
- 2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement
- 3 PHAs with Under 250 units in management may use 100% of CFP Grants for operations.
- 4 RHF funds shall be included here.

form HUD-50075.1 (4/2008)
ref Handbook 7485.3

Part III: Impletentation Schedule for Capital Fund Financing Program

PHA Name: IL018

Housing Authority of the City of Rock Island, Illinois

Federal FFY of Grant: 2011

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates :
	Original	Revised ¹	Actual ²	Original	Revised ¹	Actual ²	
	8/3/2013			8/3/2015			
IL-18-1 TBD							

¹ Obligation and Expenditure dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement/Evaluation Report
Capital Fund Program, Capital Fund Replacement Housing Factor
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 04/30/2011

Part I: Summary					
PHA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850110 Date of CFFP:		Replacement Housing Factor Grant No: FFY of Grant: 2010 FFY of Grant Approval: 2010	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: 1) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 03/11/2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost 1	
		Original	Revised 2	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 20) 3				
3	1408 Management Improvements	46,233	-	-	-
4	1410 Administration (may not exceed 10% of line 20)	94,000	-	-	-
5	1411 Audit	15,000			
6	1415 Liquidated Damages				
7	1430 Fees and Costs	25,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	68,500	-	-	-
10	1460 Dwelling Structures	589,000	-	-	-
11	1465.1 Dwelling Equipment—Nonexpendable	60,000	-	-	-
12	1470 Non-dwelling Structures	-	-	-	-
13	1475 Non-dwelling Equipment	47,500	-	-	-
14	1485 Demolition	-	-	-	-
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs	-	-	-	-
17	1499 Development Activities 4				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)	945,233	-	-	-
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director <i>Dusan Anderson</i>		Date 5/16/11		Signature of Public Housing Director Date	

1 To be completed for the Performance and Evaluation Report.

2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

3 PHAs with under 250 units in management may use 100% of CFP Grants for operations.

4 RHF funds shall be included here.

Annual Statement/Evaluation Report

Capital Fund Program, Capital Fund Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

OMB No. 2577-0226

Expires 04/30/2011

Part II: Supporting Pages

PHA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850110 Replacement Housing Factor Grant No:		OFFP/CFFP (Yes/ No): No		Federal FFY of Grant: 2010		
Development Number Name/PHA- Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised 1	Funds Obligated 2	Funds Expended 2	
18-2 Rock Island Manor	General Site Improvement	1450	LS	5,000				
	Sidewalk Repair	1450	LS	15,000				
	Site Drainage & Irrigation Repair	1450	LS	15,000				
	Parking Lot Improvements	1450	LS	10,000				
	Play Ground Improvements	1450	LS	5,000				
	Subtotal - Site Improvements			50,000	-	-	-	
	Roofing & Gutter Replacement	1460	LS	220,000				
	Bldg Exterior Upgrade/Replacement	1460	LS					
	Window-Door Repair/Replacement	1460	LS	15,000				
	Flooring/Wall Covering Replacement	1460	LS	15,000				
	Kitchen Modernization	1460	LS					
	Bath Modernization	1460	LS					
	Unit Modernization	1460	LS	115,000				
	Mech. System Upgrade/Replacement	1460	LS					
	Elect. System Upgrade/Replacement	1460	LS					
	Subtotal - Dwelling Structures			365,000	-	-	-	-
	Appliances	1465	LS	10,000				
	Water Heaters	1465	LS	5,000				
	Furnaces	1465	LS	5,000				
	Subtotal - Dwelling Equipment			20,000	-	-	-	
	Common Area Upgrades	1470	LS					
	Office Modernization	1470	LS					
	Subtotal - Non-Dwelling Structures			-	-	-	-	
	Elevator Repair/Modernization	1475	LS					
		1475	LS					
	Subtotal - Non-Dwelling Equipment			-	-	-	-	
	Demolition	1485	LS					
	Relocation	1495.1	LS					

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.² To be completed for the Performance and Evaluation Report.

Annual Statement/Evaluation Report

Capital Fund Program, Capital Fund Replacement Housing Factor and Capital Fund Financing Program

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

OMB No. 2577-0226

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Part II: Supporting Pages

PHA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850110 Replacement Housing Factor Grant No:		OFFP/CFFP (Yes/ No): No		Federal FFY of Grant: 2010		
Development Number Name/PHA- Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
18-3 Lincoln Homes	General Site Improvement	1450	LS	5,000				
	Sidewalk Repair	1450	LS					
	Site Drainage & Irrigation Repair	1450	LS					
	Parking Lot Improvements	1450	LS					
	Play Ground Improvements	1450	LS	1,000				
	Subtotal - Site Improvements			6,000	-	-	-	
	Roofing & Gutter Replacement	1460	LS					
	Bldg Exterior Upgrade/Replacement	1460	LS					
	Window-Door Repair/Replacement	1460	LS					
	Flooring/Wall Covering Replacement	1460	LS					
	Kitchen Modernization	1460	LS					
	Bath Modernization	1460	LS					
	Unit Modernization	1460	LS	14,000				
	Mech. System Upgrade/Replacement	1460	LS					
	Elect. System Upgrade/Replacement	1460	LS					
	Subtotal - Dwelling Structures			14,000	-	-	-	
	Appliances	1465	LS	10,000				
	Water Heaters	1465	LS	5,000				
	Furnaces	1465	LS	5,000				
	Subtotal - Dwelling Equipment			20,000	-	-	-	
	Common Area Upgrades	1470	LS					
	Office Modernization	1470	LS					
	Subtotal - Non-Dwelling Structures			-	-	-	-	
	Elevator Repair/Modernization	1475	LS					
		1475	LS					
	Subtotal - Non-Dwelling Equipment			-	-	-	-	
	Demolition	1485	LS					
	Relocation	1495.1	LS					

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Annual Statement/Evaluation Report

Capital Fund Program, Capital Fund Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

OMB No. 2577-0226

Expires 04/30/2011

Part II: Supporting Pages										
PHA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850110 Replacement Housing Factor Grant No:				OFFP/CFFP (Yes/ No): No			Federal FFY of Grant: 2010	
Development Number Name/PHA- Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work		
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²			
18-4 Sunset Heights	General Site Improvement	1450	LS	5,000						
	Sidewalk Repair	1450	LS							
	Site Drainage & Irrigation Repair	1450	LS							
	Parking Lot Improvements	1450	LS							
	Play Ground Improvements	1450	LS							
	Subtotal - Site Improvements			5,000	-	-	-			
	Roofing & Gutter Replacement	1460	LS							
	Bldg Exterior Upgrade/Replacement	1460	LS							
	Window-Door Repair/Replacement	1460	LS							
	Flooring/Wall Covering Replacement	1460	LS							
	Kitchen Modernization	1460	LS							
	Bath Modernization	1460	LS							
	Unit Modernization	1460	LS	25,000						
	Mech. System Upgrade/Replacement	1460	LS							
	Elect. System Upgrade/Replacement	1460	LS	85,000						
	Subtotal - Dwelling Structures			110,000	-	-	-			
	Appliances	1465	LS	10,000						
	Water Heaters	1465	LS							
	Furnaces	1465	LS							
	Subtotal - Dwelling Equipment			10,000	-	-	-			
	Common Area Upgrades	1470	LS							
	Office Modernization	1470	LS							
	Subtotal - Non-Dwelling Structures			-	-	-	-			
	Elevator Repair/Modernization	1475	LS							
		1475	LS							
	Subtotal - Non-Dwelling Equipment			-	-	-	-			
	Demolition	1485	LS							
	Relocation	1495.1	LS							

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Annual Statement/Evaluation Report

Capital Fund Program, Capital Fund Replacement Housing Factor and Capital Fund Financing Program

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

OMB No. 2577-0226

Expires 04/30/2011

Part II: Supporting Pages								
PHA Name: HOUSING AUTHORITY OF THE CITY OF ROCK ISLAND		Grant Type and Number Capital Fund Program Grant No: IL06P01850110 Replacement Housing Factor Grant No:				Federal FFY of Grant: 2010 OFFP/CFFP (Yes/ No): No		
Development Number Name/PHA- Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
18-6 Spencer Towers	General Site Improvement	1450	LS	5,000				
	Sidewalk Repair	1450	LS					
	Site Drainage & Irrigation Repair	1450	LS					
	Parking Lot Improvements	1450	LS	2,500				
	Play Ground Improvements	1450	LS					
	Subtotal - Site Improvements			7,500	-	-	-	
	Roofing & Gutter Replacement	1460	LS					
	Bldg Exterior Upgrade/Replacement	1460	LS					
	Window-Door Repair/Replacement	1460	LS					
	Flooring/Wall Covering Replacement	1460	LS					
	Kitchen Modernization	1460	LS					
	Bath Modernization	1460	LS					
	Unit Modernization	1460	LS	100,000				
	Mech. System Upgrade/Replacement	1460	LS					
	Elect. System Upgrade/Replacement	1460	LS					
	Subtotal - Dwelling Structures			100,000	-	-	-	
	Appliances	1465	LS	10,000				
	Water Heaters	1465	LS					
	Furnaces	1465	LS					
	Subtotal - Dwelling Equipment			10,000	-	-	-	
	Common Area Upgrades	1470	LS					
	Office Modernization	1470	LS					
	Subtotal - Non-Dwelling Structures			-	-	-	-	
	Elevator Repair/Modernization	1475	LS	7,500				
		1475	LS					
	Subtotal - Non-Dwelling Equipment			7,500	-	-	-	
	Demolition	1485	LS					
	Relocation	1495.1	LS					

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

² To be completed for the Performance and Evaluation Report.

Capital Fund Program, Capital Fund Replacement Housing Fund and Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 04/30/2011

Part II: Supporting Pages

[illegible]

1 To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

² To be completed for the Performance and Evaluation Report.

Annual Statement/Evaluation Report

Capital Fund Program, Capital Fund Replacement Housing Factor and

Capital Fund Financing Program

U.S. Department of Housing and Urban Development

Office of Public and In Housing

OMB No. 2577-0226

Expires 04/30/2011

Part III: Implementation Schedule for Capital Fund Financing Program

[illegible]

1 Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement of Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB Approval No. 2577-0226
 Expires 04/30/2011

Part I: Summary

PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois	Grant Type and Number Capital Fund Program Grant No: Replacement Housing factor Grant No: IL06R018501-10 Date of CFFP:	FFY of Grant: 2010 FFY of Grant Approval: 2010
-----------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------

Type of Grant

☐ Original Annual Statement
 ☐ Reserve for Disasters/Emergencies
 ☐ Revised Annual Statement/Revision Number ____
 ☒ Performance and Evaluation Report for Program Year Ending 03/31/2011
☐ Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost 1	
		Original	Revised2	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not exceed 20% of line 20)3	0			
3	1408 Management Improvements	0	0	0	0
4	1410 Administration	0	0	0	0
5	1411 Audit	0	0	0	0
6	1415 Liquidated Damages				
7	1430 Fees and Costs	0			
8	1440 Site Acquisition				
9	1450 Site Improvement	0	0	0	0
10	1460 Dwelling Structures	0	0	0	0
11	1465.1 Dwelling Equipment-Nonexpendable	0	0	0	0
12	1470 Nondwelling Structures	0			
13	1475 Nondwelling Equipment	0	0	0	0
14	1485 Demolition	0	0	0	
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs	0	0	0	0
18	1499 Mod Used for Development4	146,038	0	0	0
19	1501 Collateralization or Debt Service	0			
20	Amount of Annual Grant (Sum of Lines 2-19)	\$146,038	\$0	\$0	\$0
21	Amount of line 20 Related to LBP Activities	0			
22	Amount of line 20 Related to Section 504 Compliance	0			
23	Amount of line 20 to Security	0			
24	Amount of line 20 Related to Energy Conservation Measures	0			

Signature of Executive Director & Date:

Susan Anderson 5/16/11

Susan Anderson, Executive Director

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

1 To be completed for the Performance and Evaluation Report

2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement

3 PHAs with Under 250 units in management may use 100% of CFP Grants for operations.

4 RHF funds shall be included here.

PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois		Grant Type and Number Capital Fund Program Grant No: CFFP (Yes/ No): Replacement Housing factor Grant No: IL06R018501-10		Federal FFY of Grant: 2010				
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work 2
				Original	Revised 1	Funds Obligated 2	Funds Expended 2	
IL.18-1 TBD	Redevelopment	1499		146,038				
Total for IL.18-1, City of Rock Island Housing Authority				146,038	0			
Sub-total account 1499				146,038	0	0	0	
Sub-total account 1460				0	0	0	0	
Sub-total account 1465				0	0	0	0	
Total for IL.18-1, Rock Island Manor				146,038	0	0	0	

form HUD-50075.1 (4/2008)
ref Handbook 74853

Part III: Implementation Schedule for Capital Fund Financing Program							
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois				Federal FFY of Grant: 2010			
Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates ²
	Original	Revised ¹	Actual ²	Original	Revised ¹	Actual ²	
IL.18-1 TBD	9/30/2012			9/30/2014			

¹ Obligation and Expenditure dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB Approval No. 2577-0226
Expires 04/30/2011

Part I: Summary		Grant Type and Number		FFY of Grant: 2009	
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois		Capital Fund Program Grant No: IL06P018501-09 Replacement Housing factor Grant No: Date of CFFP:		FFY of Grant Approval: 2009	
Type of Grant					
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement/Revision Number ____ <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending 03/31/2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not exceed 20% of line 20) ³	0			
3	1408 Management Improvements	94,838	0	94,838	0
4	1410 Administration	94,838	0	94,838	0
5	1411 Audit	10,000	0	10,000	10,000
6	1415 Liquidated Damages				
7	1430 Fees and Costs	50,000	0	50,000	5,516
8	1440 Site Acquisition				
9	1450 Site Improvement	64,876	0	64,876	2,170
10	1460 Dwelling Structures	463,830	0	463,830	392,246
11	1465.1 Dwelling Equipment-Nonexpendable	0	0	0	0
12	1470 Nondwelling Structures	0			
13	1475 Nondwelling Equipment	25,000	0	25,000	5,670
14	1485 Demolition	145,000	0	145,000	0
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs	0	0	0	0
18	1499 Mod Used for Development ⁴	0	0	0	0
19	1501 Collateralization or Debt Service	0			
20	Amount of Annual Grant (Sum of Lines 2-19)	\$948,382	\$0	\$948,382	\$415,602
21	Amount of line 20 Related to LBP Activities	0			
22	Amount of line 20 Related to Section 504 Compliance	220,000		220,000	220,000
23	Amount of line 20 to Security	0			
24	Amount of line 20 Related to Energy Conservation Measures	95,000		95,000	95,000
Signature of Executive Director & Date: <i>Susan Anderson</i> Susan Anderson, Executive Director 5/16/11		Signature of Public Housing Director/Office of Native American Programs Administrator & Date:			

1 To be completed for the Performance and Evaluation Report

2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement

3 PHAs with Under 250 units in management may use 100% of CFP Grants for operations.

4 RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: IL06P018501-09 CFFP (Yes/ No): Replacement Housing factor Grant No:			Federal FFY of Grant: 2009		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work 2
				Original	Revised 1	Funds Obligated 2	Funds Expended 2	
IL.18-2 Manor Homes	General Site Improvement/Landscape	1450	1	14,876		14,876	2,170	In Progress
	Section 504 Upgrades	1460	1	110,000		110,000	110,000	Completed
	Stairway Doors	1460	10	10,000		10,000		
	Total for IL.18-2, Rock Island Manor			134,876	0	134,876	112,170	
	Amount of line 20 Related to Energy Conservation Measures							
Signature of Executive Director	Sub-total account 1450			14,876	0	14,876	2,170	
	Sub-total account 1460			120,000	0	120,000	110,000	
	Sub-total account 1465			0	0	0	0	
	Total for IL.18-2, Rock Island Manor			134,876	0	134,876	112,170	

1 To be completed for the Performance and Evaluation Report of a Revised Annual Statement

2 To be completed for the Performance and Evaluation Report

form HUD-50075.1 (4/2008)
 ref Handbook 74853

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: IL06P018501-09 CFFP (Yes/ No): Replacement Housing factor Grant No:			Federal FFY of Grant: 2009		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
IL.18-3 Lincoln Homes	Demolition	1485		145,000		145,000		
Signature of Execu	Amount of line 20 Related to Energy Conservation Measures							
	Total for IL.18-3, Lincoln Homes			145,000	0	145,000	0	
	Sub-total account 1485			145,000	0	145,000	0	
	Sub-total account 1495.1			0	0	0	0	
	Total for IL.18-3, Lincoln Homes			145,000	0	145,000	0	

¹ To be completed for the Performance and Evaluation Report of a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

form HUD-50075.1 (4/2008)
 ref Handbook 74853

Annual Statements/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB Approval No. 2577-0226
 Expires 04/30/2011

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: IL06P018501-09 CFFP (Yes/ No): Replacement Housing factor Grant No:			Federal FFY of Grant: 2009		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
IL.18-4 Sunset Heights	General Site Improvement/Landscape	1450	1	5,000		5,000		In Progress Completed Completed
	Repave, Stripe & Seal Parking Areas	1450	1	45,000		45,000		
	New Flooring	1460		65,000		65,000	3,416	
	Common Area Painting	1460		25,000		25,000	25,000	
	Section 504 Upgrades	1460		110,000		110,000	110,000	
	Total for IL.18-4 Sunset Heights			250,000	0	250,000	138,416	
	Amount of line 20 Related to Energy Conservation Measures							
	of Executive Director & Date:							
	Sub-total account 1450			50,000	0	50,000	0	
	Sub-total account 1460			200,000	0	200,000	138,416	
	Sub-total account 1465			0	0	0	0	
	Total for IL.18-4, Sunset Heights			250,000	0	250,000	138,416	

¹ To be completed for the Performance and Evaluation Report of a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

form HUD-50075.1 (4/2008)
 ref Handbook 74853

Annual Statement of Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB Approval No. 2577-0226
 Expires 04/30/2011

Part II: Supporting Pages

PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois		Grant Type and Number Capital Fund Program Grant No: IL06P018501-09 CFFP (Yes/ No): Replacement Housing factor Grant No:		Federal FFY of Grant: 2009				
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
IL.18-6 Spencer Towers	General Site Improvement/Landscape	1450	1					Completed
		1450	1					
		1450	1					
	Unit Renovation/Modernization	1460	1	143,830		143,830	143,830	
		Redevelopment	1499					
	Total for IL.18-6 Spencer Towers		143,830	0	143,830	143,830		
	Amount of line 20 Related to Energy Conservation Measures							
	Signature of Executive Director & Date:							
	Sub-total account 1450		0	0	0	0		
	Sub-total account 1460		143,830	0	143,830	143,830		
Sub-total account 1465		0	0	0	0			
Sub-total account 1499		0	0	0	0			
Total for IL.18-6, Spencer Towers		143,830	0	143,830	143,830			

1 To be completed for the Performance and Evaluation Report of a Revised Annual Statement

2 To be completed for the Performance and Evaluation Report

form HUD-50075.1 (4/2008)
 ref Handbook 74853

Annual Statement of Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB Approval No. 2577-0226
 Expires 04/30/2011

Part II: Supporting Pages									
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: IL06P018501-09 CFFP (Yes/ No): Replacement Housing factor Grant No:			Federal FFY of Grant: 2009			
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work 2	
				Original	Revised 1	Funds Obligated 2	Funds Expended 2		
2008	OPERATIONS	1406		0				Completed In Progress	
	Staff Training	1408	1	69,500		69,500			
	Resident Training	1408	1						
	Marketing	1408	1						
	Security	1408	1	3,000		3,000			
	Computers & Training	1408	1	15,000		15,000			
	Preventative Maintenance	1408	1	2,500		2,500			
	Studies & Plans	1408	1	4,838		4,838			
	Strategies for 5 year Plan	1408	1						
	Total for 1408, Mgmt. Improvements			94,838	0	94,838	0		
	Modernization salaries/wages	1410		74,838		74,838			
	EBC'S	1410		17,500		17,500			
	Publications	1410		500		500			
	Legal	1410		2,000		2,000			
	Total for 1410, Admin. Costs			94,838	0	94,838	0		
	AUDIT COSTS	1411		10,000		10,000	10,000		
	PHA-WIDE ARCHITECT/ENG. FEES	1430		50,000		50,000	5,516		
	Amount of line 20 Related to Energy Conservation	1470		-					
	Signature of Executive Director & Date:								
	PHA-WIDE EQUIPMENT								
Maintenance & Office Equipment	1475		25,000		25,000	5,670			
Total for 1475, Maintenance Equipment			25,000	-	25,000	5,670			
COLLATERIZATION or DEBT SERVICE	1501		0						

1 To be completed for the Performance and Evaluation Report of a Revised Annual Statement

2 To be completed for the Performance and Evaluation Report

form HUD-50075.1 (4/2008)
 ref Handbook 74853

Annual Statements/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB Approval No. 2577-0226
 Expires 04/30/2011

Part III: Implementation Schedule for Capital Fund Financing Program							
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois				Federal FFY of Grant: 2009			
Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates ₂
	Original	Revised ₁	Actual ₂	Original	Revised ₁	Actual ₂	
2009	9/14/2011		2/28/2011	9/14/2013			
Signature of Executive Director & Date: <div style="float: right; text-align: right;"> Amount of line 20 Related to Energy Conservation Measures </div>							

₁ Obligation and Expenditure dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB Approval No. 2577-0226
Expires 04/30/2011

Part I: Summary

PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois	Grant Type and Number Capital Fund Program Grant No: IL06P018501-08 Replacement Housing factor Grant No: Date of CFFP:	FFY of Grant: 2008 FFY of Grant Approval: 2008
---------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------

Type of Grant

☐ Original Annual Statement ☐ Reserve for Disasters/Emergencies ☐ Revised Annual Statement/Revision Number____ ☒ Performance and Evaluation Report for Program Year Ending 03/31/2011
☐ Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not exceed 20% of line 20)s	0			
3	1408 Management Improvements	85,000	85,000	85,000	47,658
4	1410 Administration	89,867	89,867	89,867	6,852
5	1411 Audit	5,000	5,000	5,000	5,000
6	1415 Liquidated Damages				
7	1430 Fees and Costs	0			
8	1440 Site Acquisition				
9	1450 Site Improvement	50,000	50,000	50,000	45,025
10	1460 Dwelling Structures	171,009	542,380	542,380	426,577
11	1465.1 Dwelling Equipment-Nonexpendable	265,000	50,009	50,009	35,330
12	1470 Nondwelling Structures	0			
13	1475 Nondwelling Equipment	5,000	5,000	5,000	3,950
14	1485 Demolition	150,000	0	0	
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs	85,000	78,620	78,620	78,620
18	1499 Mod Used for Development	85,000	0	0	0
19	1501 Collateralization or Debt Service	0			
20	Amount of Annual Grant (Sum of Lines 2-19)	\$990,876	\$905,876	\$905,876	\$649,012
21	Amount of line 20 Related to LBP Activities	0			
22	Amount of line 20 Related to Section 504 Compliance	136,009	250,000	250,000	250,000
23	Amount of line 20 to Security	0			
24	Amount of line 20 Related to Energy Conservation Measures	126,900	126,900	126,900	126,900

Signature of Executive Director & Date:

Susan Anderson 5/16/11
Susan Anderson, Executive Director

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

1 To be completed for the Performance and Evaluation Report

2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement

3 PHAs with Under 250 units in management may use 100% of CFP Grants for operations.

4 RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: IL06P018501-08 CFFP (Yes/ No): Replacement Housing factor Grant No:			Federal FFY of Grant: 2008		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
IL.18-2 Manor Homes	General Site Improvement/Landscape	1450	1	20,000	20,000	20,000	20,000	Completed
	Section 504 Upgrades	1460	1		100,000	100,000	100,000	Completed
	Window Replacement	1460	20	35,000	15,000	15,000	15,000	Completed
	Replace Appliances	1465		115,000	20,000	20,000	17,786	In Progress
	Total for IL.18-2, Rock Island Manor			170,000	155,000			
	Sub-total account 1450			20,000	20,000	20,000	20,000	
	Sub-total account 1460			35,000	115,000	115,000	115,000	
	Sub-total account 1465			115,000	20,000	20,000	17,786	
	Total for IL.18-2, Rock Island Manor			170,000	155,000	155,000	152,786	

¹ To be completed for the Performance and Evaluation Report of a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: IL06P018501-08 CFFP (Yes/ No): Replacement Housing factor Grant No:			Federal FFY of Grant: 2008		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
IL.18-3 Lincoln Homes	Demolition	1485		150,000	0			Moved to 18-6
	Relocation	1495.1		85,000	0	0		
	Development	1499						
	Total for IL.18-3, Lincoln Homes			235,000	0	0	0	
	Sub-total account 1485			150,000	0	0	0	
	Sub-total account 1495.1			85,000	0	0	0	
	Sub-total account 1499			0	0	0	0	
	Total for IL.18-3, Lincoln Homes			235,000	0	0	0	

1 To be completed for the Performance and Evaluation Report of a Revised Annual Statement

2 To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: IL06P018501-08 CFFP (Yes/ No): Replacement Housing factor Grant No:			Federal FFY of Grant: 2008		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
IL.18-4 Sunset Heights	General Site Improvement/Landscape	1450	1	10,000	10,000	10,000	10,000	Completed
	Patio Area Renovation	1450	1	20,000	20,000	20,000	15,025	Completed
	Section 504 Upgrades	1460		76,009	190,000	190,000	190,000	Completed
	Replace Appliances	1465		100,000	30,009	30,009	17,544	In Progress
	Total for IL.18-4 Sunset Heights			206,009	250,009	250,009	232,569	
	Sub-total account 1450			30,000	30,000	30,000	25,025	
	Sub-total account 1460			76,009	190,000	190,000	190,000	
	Sub-total account 1465			100,000	30,009	30,009	17,544	
	Total for IL.18-4, Sunset Heights			206,009	250,009	250,009	232,569	

¹ To be completed for the Performance and Evaluation Report of a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

form HUD-50075.1 (4/2008)

ref Handbook 74853

Part II: Supporting Pages

PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois		Grant Type and Number Capital Fund Program Grant No: IL06P018501-08 CFFP (Yes/ No): Replacement Housing factor Grant No:		Federal FFY of Grant: 2008				
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work 2
				Original	Revised 1	Funds Obligated 2	Funds Expended 2	
IL.18-6 Spencer Towers	General Site Improvement/Landscape	1450	1					
		1450	1					
		1450	1					
	Section 504 Upgrades	1460	1	60,000	237,380	237,380	121,577	\$6,379.72 transferred from 1495
	Replace Appliances	1465		50,000	0	0		
	Relocation	1495.1		85,000	78,620	78,620	78,620	Completed Balance transferred to 18-6, 1460
	Total for IL.18-6 Spencer Towers			195,000	316,000	316,000	200,197	
	Sub-total account 1450			0	0	0	0	
	Sub-total account 1460			60,000	237,380	237,380	121,577	
	Sub-total account 1465			50,000	0	0	0	
	Sub-total account 1495			85,000	78,620	78,620	78,620	
	Total for IL.18-6, Spencer Towers			195,000	316,000	316,000	200,197	

¹ To be completed for the Performance and Evolution Report of a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

form HUD-50075.1 (4/2008)

ref Handbook 74853

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: IL06P018501-08 CFFP (Yes/ No): Replacement Housing factor Grant No:			Federal FFY of Grant: 2008		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
2008	OPERATIONS	1406		0				
	Staff Training	1408	1	51,500	51,500	51,500	25,000	In Progress
	Resident Training	1408	1	15,000	15,000	15,000	10,000	In Progress
	Marketing	1408	1	5,000	5,000	5,000	5,000	Completed
	Security	1408	1	1,000	1,000	1,000		
	Computers & Training	1408	1	5,000	5,000	5,000	158	In Progress
	Preventative Maintenance	1408	1	2,500	2,500	2,500	2,500	Completed
	Studies & Plans	1408	1	2,500	2,500	2,500	2,500	Completed
	Strategies for 5 year Plan	1408	1	2,500	2,500	2,500	2,500	Completed
	Total for 1408, Mgmt. Improvements			85,000	85,000	85,000	47,658	
	Modernization salaries/wages	1410		70,000	70,000	70,000	5,892	
	EBC'S	1410		17,500	17,500	17,500	960	
	Publications	1410		367	367	367		
	Legal	1410		2,000	2,000	2,000		
	Total for 1410, Admin. Costs			89,867	89,867	89,867	6,852	
	AUDIT COSTS	1411		5,000	5,000	5,000	5,000	Completed
	PHA-WIDE ARCHITECT/ENG. FEES	1430		0				
	NON-DWELLING STRUCTURES	1470		0				
	PHA-WIDE EQUIPMENT							
	Maintenance & Office Equipment	1475		5,000	5,000	5,000	3,950	
	Total for 1475, Maintenance Equipment			5,000	5,000	5,000	3,950	
	COLLATERIZATION or DEBT SERVICE	1501		0				

¹ To be completed for the Performance and Evaluation Report of a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

form HUD-50075.1 (4/2008)

ref Handbook 74853

Part III: Implementation Schedule for Capital Fund Financing Program							
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois				Federal FFY of Grant: 2008			
Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates ²
	Original	Revised ¹	Actual ²	Original	Revised ¹	Actual ²	
2009	6/12/2011		3/27/2009	6/12/2013			

¹ Obligation and Expenditure dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement of Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB Approval No. 2577-0226
Expires 04/30/2011

Part I: Summary

PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois	Grant Type and Number Capital Fund Program Grant No: Replacement Housing factor Grant No: IL06R018501-09 Date of CFFP:	FFY of Grant: 2009 FFY of Grant Approval: 2009
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Type of Grant

☐ Original Annual Statement
 ☐ Reserve for Disasters/Emergencies
 ☐ Revised Annual Statement/Revision Number ____
 ☒ Performance and Evaluation Report for Program Year Ending 03/31/2011
☐ Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not exceed 20% of line 20) ³	0			
3	1408 Management Improvements	0	0	0	0
4	1410 Administration	0	0	0	0
5	1411 Audit	0	0	0	0
6	1415 Liquidated Damages				
7	1430 Fees and Costs	0			
8	1440 Site Acquisition				
9	1450 Site Improvement	0	0	0	0
10	1460 Dwelling Structures	0	0	0	0
11	1465.1 Dwelling Equipment-Nonexpendable	0	0	0	0
12	1470 Nondwelling Structures	0			
13	1475 Nondwelling Equipment	0	0	0	0
14	1485 Demolition	0	0	0	
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs	0	0	0	0
18	1499 Mod Used for Development ⁴	146,570	0	146,570	0
19	1501 Collateralization or Debt Service	0			
20	Amount of Annual Grant (Sum of Lines 2-19)	\$146,570	\$0	\$146,570	\$0
21	Amount of line 20 Related to LBP Activities	0			
22	Amount of line 20 Related to Section 504 Compliance	0			
23	Amount of line 20 to Security	0			
24	Amount of line 20 Related to Energy Conservation Measures	0			

Signature of Executive Director & Date:

Susan Anderson 5/16/11
Susan Anderson, Executive Director

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

- 1 To be completed for the Performance and Evaluation Report
- 2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement
- 3 PHAs with Under 250 units in management may use 100% of CFP Grants for operations.
- 4 RHF funds shall be included here.

form HUD-50075.1 (4/2008)
ref Handbook 7485.3

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: CFFP (Yes/ No): Replacement Housing factor Grant No: IL06P018501-09			Federal FFY of Grant: 2009		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work 2
				Original	Revised 1	Funds Obligated 2	Funds Expended 2	
IL.18-9	Cascade Garden Development	1499		146,570		146,570		The Authority is pursuing a special needs housing development to be financed through an OFFP/Mixed Finance transaction whereby the Authority would leverage about \$2.6M (\$2M from AMP 18-4 Excess Cash and \$.6M of RHF funds) to acquire 33 ACC units out of a proposed 70-unit development. The development may also include certain project-based (HCV) units. The Authority has procured a developer for this special needs facility. Plan calls for this transaction to close in 2009 or early 2010. The total estimated cost of the project is \$13,000,000. The project location is 2821 5th Street, Rock Island, IL and adjoining sites.
	Total for IL.18-9, Cascade Garden			146,570	0			
	Sub-total account 1499			146,570	0	146,570	0	
	Sub-total account 1460			0	0	0	0	
	Sub-total account 1465			0	0	0	0	
	Total for IL.18-1, Rock Island Manor			146,570	0	146,570	0	

1 To be completed for the Performance and Evaluation Report of a Revised Annual Statement

2 To be completed for the Performance and Evaluation Report

Part III: Impletentation Schedule for Capital Fund Financing Program							
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois				Federal FFY of Grant: 2009			
Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates ²
	Original	Revised ¹	Actual ²	Original	Revised ¹	Actual ²	
IL-18-9	9/30/2011		2/28/2010	9/30/2013			

¹ Obligation and Expenditure dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB Approval No. 2577-0226
 Expires 04/30/2011

Part I: Summary

PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois	Grant Type and Number Capital Fund Program Grant No: Replacement Housing factor Grant No: IL06R01850208 Date of CFFP:	FFY of Grant: 2008 FFY of Grant Approval: 2008
-----------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------

Type of Grant

☐ Original Annual Statement
 ☐ Reserve for Disasters/Emergencies
 ☐ Revised Annual Statement/Revision Number _____
 ☒ Performance and Evaluation Report for Program Year Ending 03/31/2011
☐ Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not exceed 20% of line 20) ³				
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment-Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Mod Used for Development ⁴	78,001	0	78,001	0
19	1501 Collateralization or Debt Service				
20	Amount of Annual Grant (Sum of Lines 2-19)	\$78,001	\$0	\$78,001	\$0
21	Amount of line 20 Related to LBP Activities	0			
22	Amount of line 20 Related to Section 504 Compliance	0	0		
23	Amount of line 20 to Security	0			
24	Amount of line 20 Related to Energy Conservation Measures	0	0		

Signature of Executive Director & Date:

Susan Anderson 5/16/11
 Susan Anderson, Executive Director

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

¹ To be completed for the Performance and Evaluation Report

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement

³ PHAs with Under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part II: Supporting Pages				FFY of Grant: 2008				
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois		Grant Type and Number Capital Fund Program Grant No: CFFP (Yes/ No): Replacement Housing factor Grant No: IL06R01850208		Federal FFY of Grant: 2008				
Statement/Revision Number _____ [X] Performance and Evaluation Report for Program Year Ending				Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
IL018	Development	1499		78,001		78,001		

¹ To be completed for the Performance and Evaluation Report of a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois							Federal FFY of Grant: 2008
Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates 2
	Original	Revised 1	Actual 2	Original	Revised 1	Actual 2	
	9/11/2011		7/31/2008	9/11/2013			

form HUD-50075.1 (4/2008)
ref Handbook 74853


Annual Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB Approval No. 2577-0226
 Expires 04/30/2011

Part I: Summary	
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois	Grant Type and Number Capital Fund Program Grant No: Replacement Housing factor Grant No: IL06R01850108 Date of CFFP:
FFY of Grant: 2008 FFY of Grant Approval: 2008	

Type of Grant
☐ Original Annual Statement ☐ Reserve for Disasters/Emergencies ☐ Revised Annual Statement/Revision Number _____ ☒ Performance and Evaluation Report for Program Year Ending 03/31/2011
☐ Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not exceed 20% of line 20) ³				
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment-Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Mod Used for Development ⁴	172,860	0	172,860	0
19	1501 Collateralization or Debt Service				
20	Amount of Annual Grant (Sum of Lines 2-19)	\$172,860	\$0	\$172,860	\$0
21	Amount of line 20 Related to LBP Activities	0			
22	Amount of line 20 Related to Section 504 Compliance	0	0		
23	Amount of line 20 to Security	0			
24	Amount of line 20 Related to Energy Conservation Measures	0	0		

Signature of Executive Director & Date:  5/16/11 Susan Anderson, Executive Director	Signature of Public Housing Director/Office of Native American Programs Administrator & Date:
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------

- 1 To be completed for the Performance and Evaluation Report
- 2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement
- 3 PHAs with Under 250 units in management may use 100% of CFP Grants for operations.
- 4 RHF funds shall be included here.

form HUD-50075.1 (4/2008)
 ref Handbook 7485.3

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Replacement Housing factor Grant No: IL06R01850108 CFFP (Yes/ No):			Federal FFY of Grant: 2008		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work 2
				Original	Revised 1	Funds Obligated 2	Funds Expended 2	
IL018	Development	1499		172,860		172,860		

1 To be completed for the Performance and Evaluation Report of a Revised Annual Statement

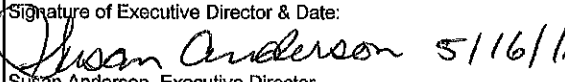
2 To be completed for the Performance and Evaluation Report

PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois							Federal FFY of Grant: 2008
Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates 2
	Original	Revised 1	Actual 2	Original	Revised 1	Actual 2	
	9/11/2011			9/11/2013			

form HUD-50075.1 (4/2008)
ref Handbook 74853

Annual Statements/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB Approval No. 2577-0228
 Expires 04/30/2011

Part I: Summary					
PHA Name: IL018		Grant Type and Number			FFY of Grant: 2007
Housing Authority of the City of Rock Island, Illinois		Capital Fund Program Grant No:			FFY of Grant Approval: 2007
		Replacement Housing factor Grant No: IL06R01850207			
		Date of CFFP:			
Type of Grant					
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement/Revision Number _____ <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending 03/31/2011					
<input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost 1	
		Original	Revised2	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not exceed 20% of line 20)3				
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment-Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Mod Used for Development4	97,697	0	97,697	0
19	1501 Collateralization or Debt Service				
20	Amount of Annual Grant (Sum of Lines 2-19)	\$97,697	\$0	\$97,697	\$0
21	Amount of line 20 Related to LBP Activities	0			
22	Amount of line 20 Related to Section 504 Compliance	0	0		
23	Amount of line 20 to Security	0			
24	Amount of line 20 Related to Energy Conservation Measures	0	0		
Signature of Executive Director & Date:		Signature of Public Housing Director/Office of Native American Programs Administrator & Date:			
 5/16/11 Susan Anderson, Executive Director					

- 1 To be completed for the Performance and Evaluation Report
- 2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement
- 3 PHAs with Under 250 units in management may use 100% of CFP Grants for operations.
- 4 RHF funds shall be included here.

form HUD-50075.1 (4/2008)
 ref Handbook 7485.3

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: CFFP (Yes/ No): Replacement Housing factor Grant No: IL06R01850207			Federal FFY of Grant: 2007		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
IL-18-9	Cascade Garden Development	1499		97,697		97,697		The Authority is pursuing a special needs housing development to be financed through an OFFP/Mixed Finance transaction whereby the Authority would leverage about \$2.6M (\$2M from AMP 18-4 Excess Cash and \$.6M of RHF funds) to acquire 33 ACC units out of a proposed 70-unit development. The development may also include certain project-based (HCV) units. The Authority has procured a developer for this special needs facility. Plan calls for this transaction to close in 2009 or early 2010. The total estimated cost of the project is \$13,000,000. The project location is 2821 5th Street, Rock Island, IL and adjoining sites.

¹ To be completed for the Performance and Evaluation Report of a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

1 Obligation and Expenditure dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended. form HUD-50075.1 (4/2008)
ref Handbook 74853

Part I: Summary		Grant Type and Number		FFY of Grant: 2006	
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois		Capital Fund Program Grant No: Replacement Housing factor Grant No: IL06R01850206 Date of CFFP:		FFY of Grant Approval: 2006	
Type of Grant					
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement/Revision Number _____ <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending 03/31/2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost 1	
		Original	Revised2	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not exceed 20% of line 20)3				
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment-Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Mod Used for Development4	88,472	95,957	95,957	0
19	1501 Collateralization or Debt Service				
20	Amount of Annual Grant (Sum of Lines 2-19)	\$88,472	\$95,957	\$95,957	\$0
21	Amount of line 20 Related to LBP Activities	0			
22	Amount of line 20 Related to Section 504 Compliance	0	0		
23	Amount of line 20 to Security	0			
24	Amount of line 20 Related to Energy Conservation Measures	0	0		
Signature of Executive Director & Date: <i>Susan Anderson 5/16/11</i> Susan Anderson, Executive Director		Signature of Public Housing Director/Office of Native American Programs Administrator & Date:			

1 To be completed for the Performance and Evaluation Report

2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement

3 PHAs with Under 250 units in management may use 100% of CFP Grants for operations.

4 RHF funds shall be included here.

form HUD-50075.1 (4/2008)

ref Handbook 7485.3

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois		Grant Type and Number Capital Fund Program Grant No: CFFP (Yes/ No): Replacement Housing factor Grant No: IL06R01850206				Federal FFY of Grant: 2006		
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
IL.18-9	Cascade Garden Development	1499		88,472	95,957	95,957		The Authority is pursuing a special needs housing development to be financed through an OFFP/Mixed Finance transaction whereby the Authority would leverage about \$2.6M (\$2M from AMP 18-4 Excess Cash and \$.6M of RHF funds) to acquire 33 ACC units out of a proposed 70-unit development. The development may also include certain project-based (HCV) units. The Authority has procured a developer for this special needs facility. Plan calls for this transaction to close in 2009 or early 2010. The total estimated cost of the project is \$13,000,000. The project location is 2821 5th Street, Rock Island, IL and adjoining sites.

¹ To be completed for the Performance and Evaluation Report of a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part III: Implementation Schedule for Capital Fund Financing Program							
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois						Federal FFY of Grant: 2006	
Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates 2
	Original	Revised 1	Actual 2	Original	Revised 1	Actual 2	
IL-18-9	12/31/2009		10/28/2009	12/31/2011			

¹ Obligation and Expenditure dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statements/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB Approval No. 2577-0226
Expires 04/30/2011

Part I: Summary		Grant Type and Number		FFY of Grant: 2005	
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois		Capital Fund Program Grant No: Replacement Housing factor Grant No: IL06R01850205 Date of CFFP:		FFY of Grant Approval: 2005	
Type of Grant					
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement/Revision Number _____ <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending 03/31/2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not exceed 20% of line 20) ³				
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment-Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Mod Used for Development ⁴	103,386	0	103,386	0
19	1501 Collateralization or Debt Service				
20	Amount of Annual Grant (Sum of Lines 2-19)	\$103,386	\$0	\$103,386	\$0
21	Amount of line 20 Related to LBP Activities	0			
22	Amount of line 20 Related to Section 504 Compliance	0	0		
23	Amount of line 20 to Security	0			
24	Amount of line 20 Related to Energy Conservation Measures	0	0		
Signature of Executive Director & Date: <i>Susan Anderson 5/16/11</i> Susan Anderson, Executive Director		Signature of Public Housing Director/Office of Native American Programs Administrator & Date:			

- 1 To be completed for the Performance and Evaluation Report
- 2 To be completed for the Performance and Evaluation Report or a Revised Annual Statement
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- 4 RHF funds shall be included here.

form HUD-50075.1 (4/2008)
ref Handbook 7485.3

Part II: Supporting Pages								
PHA Name: IL018 Housing Authority of the City of Rock Island, Illinois			Grant Type and Number Capital Fund Program Grant No: CFFP (Yes/ No): Replacement Housing factor Grant No: IL06R01850205			Federal FFY of Grant: 2005		
Statement/Revision Number	General Description of Major Work Categories	Development Account Number	Year Ending	Total Estimated Cost		Total Actual Cost		Status of Proposed Work ²
Performance and Evaluation HA-Wide Activities			Quantity	Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
IL.18-9	Cascade Garden Development	1499		103,386		103,386		The Authority is pursuing a special needs housing development to be financed through an OFFP/Mixed Finance transaction whereby the Authority would leverage about \$2.6M (\$2M from AMP 18-4 Excess Cash and \$.6M of RHF funds) to acquire 33 ACC units out of a proposed 70-unit development. The development may also include certain project-based (HCV) units. The Authority has procured a developer for this special needs facility. Plan calls for this transaction to close in 2009 or early 2010. The total estimated cost of the project is \$13,000,000. The project location is 2821 5th Street, Rock Island, IL and adjoining sites.

¹ To be completed for the Performance and Evaluation Report of a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part III: Impletentation Schedule for Capital Fund Financing Program							
PHA Name: IL018				Federal FFY of Grant: 2005			
Housing Authority of the City of Rock Island, Illinois							
Development Number/Name al Statement/Revision N Performance and Evalua	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates 2
	Original	Revised 1	Actual 2	Original	Revised 1	Actual 2	
IL.18-9	12/31/2009		10/28/2009	12/31/2011			

1 Obligation and Expenditure dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

form HUD-50075.1 (4/2008)
 ref Handbook 74853

Capital Fund Program—Five-Year Action Plan

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Part I: Summary

PHA Name/Number: Housing Authority of the City of Rock Island (IL018)		Locality: Rock Island, Rock Island, Illinois		<input checked="" type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:		
A.	Development Number and Name	Work Statement for Year 1 FFY <u>2011</u>	Work Statement for Year 2 FFY <u>2012</u>	Work Statement for Year 3 FFY <u>2013</u>	Work Statement for Year 4 FFY <u>2014</u>	Work Statement for Year 5 FFY <u>2015</u>
B.	Physical Improvements Subtotal	Annual Statement	605,000	573,500	423,500	448,500
C.	Management Improvements		95,000	95,000	95,000	95,000
D.	PHA-Wide Non-dwelling Structures and Equipment			5,000	5,000	5,000
E.	Administration		95,000	95,000	95,000	95,000
F.	Other		5,000	31,500	31,500	6,500
G.	Operations					
H.	Demolition		150,000	150,000		
I.	Development				300,000	300,000
J.	Capital Fund Financing – Debt Service					
K.	Total CFP Funds					
L.	Total Non-CFP Funds					
M.	Grand Total	843,533	950,000	950,000	950,000	950,000

Part I: Summary (Continuation)						
PHA Name/Number		Locality (City/County & State)			<input type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:	
A.	Development Number and Name	Work Statement for Year 1 FFY 2011	Work Statement for Year 2 FFY 2012	Work Statement for Year 3 FFY 2013	Work Statement for Year 4 FFY 2014	Work Statement for Year 5 FFY 2015
B.		Annual Statement				
C.						
D.						
E.						
F.						
G.						
H.						
I.						
J.						
K.						
L.						
M.						

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Part II: Supporting pages - Physical Needs Work Statement(s)

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Work Statement for year 1 FFY 2011	Work Statement for Year 4 FFY 2014			Work Statement for Year 5 FFY 2015		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs
See Annual Statement	18-2 Rock Island Manor					
	General Site Improvements (1450)		5,000	General Site Improvements (1450)		5,000
	Unit Renovation (1460)		50,000	Unit Renovation (1460)		50,000
	Repair/Replace Windows (1460)		50,000	Repair/Replace Windows (1460)		50,000
	Appliances (1465)		25,000	Appliances (1465)		25,000
	Redevelopment (1499)		300,000	Redevelopment (1499)		300,000
	Subtotal of Estimated Costs		\$ 430,000	Subtotal of Estimated Costs		\$ 430,000

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Part II: Supporting pages - Physical Needs Work Statement(s)						
Work Statement for year 1 FFY 2011	Work Statement for Year 2 FFY 2012			Work Statement for Year 3 FFY 2013		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs
See	18-3 Lincoln Homes					
Annual	Demolition (1485)		150,000	General Site Improvements (1450)		10,000
Statement				Renovation/Modernization (1460)		100,000
	Subtotal of Estimated Costs		\$ 150,000	Subtotal of Estimated Costs		\$ 110,000

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Work Statement for year 1 FFY 2011	Work Statement for Year 4 FFY 2014			Work Statement for Year 5 FFY 2015		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs
See Annual Statement	18-3 Lincoln Homes					
	General Site Improvements (1450)		10,000	General Site Improvements (1450)		10,000
	Renovation/Modernization (1460)		100,000	Renovation/Modernization (1460)		100,000
	Subtotal of Estimated Costs			Subtotal of Estimated Costs		
		\$ 110,000			\$ 110,000	

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Part II: Supporting pages - Physical Needs Work Statement(s)

Work Statement for year 1 FFY 2011	Work Statement for Year 2 FFY 2012			Work Statement for Year 3 FFY 2013		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs
See Annual Statement	18-4 Sunset Heights					
	General Site Improvements (1450)		7,500	General Site Improvements (1450)		10,000
	New Flooring (1460)		10,000	Electrical System Upgrades (1460)		15,000
	Paint Hallways and Common Area (1460)		25,000			
				Appliances (1465)		25,000
	Subtotal of Estimated Costs		\$ 42,500	Subtotal of Estimated Costs		\$ 50,000

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Work Statement for year 1 FFY 2011	Work Statement for Year 4 FFY 2014			Work Statement for Year 5 FFY 2015		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs
See Annual Statement	18-4 Sunset Heights					
	General Site Improvements (1450)		10,000	General Site Improvements (1450)		10,000
	Electrical System Upgrades (1460)		15,000	Electrical System Upgrades (1460)		15,000
	Appliances (1465)		25,000	Appliances (1465)		25,000
	Subtotal of Estimated Costs	\$ 50,000		Subtotal of Estimated Costs	\$ 50,000	

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Part II: Supporting pages - Physical Needs Work Statement(s)						
Work Statement for year 1 FFY 2011	Work Statement for Year 2 FFY 2012			Work Statement for Year 3 FFY 2013		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs
Sec	18-6 Spencer Towers					
Annual	General Site Improvements (1450)		5,000	General Site Improvements (1450)		8,376
Statement	Fencing (1450)		8,000			
	Site Lighting (1450)		75,000	Heating System Upgrades (1460)		75,000
				Unit Renovation (1460)		250,124
	Unit Renovation (1460)		275,124			
				Appliances (1465)		15,000
	Subtotal of Estimated Costs		\$ 363,124	Subtotal of Estimated Costs		\$ 348,500

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Part II: Supporting pages - Physical Needs Work Statement(s)						
Work Statement for year 1 FFY 2011	Work Statement for Year 4 FFY 2014			Work Statement for Year 5 FFY 2015		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Costs
See Annual Statement	18-6 Spencer Towers					
	General Site Improvements (1450)		8,376	General Site Improvements (1450)		8,376
	Heating System Upgrades (1460)		75,000	Heating System Upgrades (1460)		100,000
	Unit Renovation (1460)		100,124	Unit Renovation (1460)		100,124
	Appliances (1465)		15,000	Appliances (1465)		15,000
	Subtotal of Estimated Costs		\$ 198,500	Subtotal of Estimated Costs		\$ 223,500

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Part II: Supporting Pages - Management Needs Work Statement(s)

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